Commission de Surveillance du Secteur Financier

Guidelines on notification and de-notification procedures

TO BE FOLLOWED BY LUXEMBOURG UNDERTAKINGS FOR COLLECTIVE INVESTMENT AND INVESTMENT FUND MANAGERS, FOR PRE-MARKETING AND CROSS-BORDER MARKETING

Guidelines on notification and de-notification procedures

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Update information

Date	Version	Changes
20/06/2022	1.0	Publication of the document
15/09/2022	1.1	Addition of pre-marketing notifications in scope
13/12/2023	2.0	Addition of UCITS notifications in scope Transmission through API channel (S3 technology)
02/01/2024	2.1	Update of Annex 5 concerning the rules implemented Addition of UCITS notification letter templates in Annex 1
27/02/2024	2.2	Update of Annex 5 concerning the rules implemented (activation of the rules concerning the documents signed by the CSSF) Addition of a chapter (4.2.4) concerning the monitoring of API transmissions

		Addition of a chapter (4.2.5) concerning the cleaning of the API bucket folders
14/07/2024	2.3	Update due to AIFMD and UCITS ITS of 15 December 2023: - New notification letter templates (Annex 1) - Changes concerning the document CSSF attestation that is no longer requested (chapter 3)
11/11/2024	2.4	Update due to the addition of new fields in the notifications (Predominant AIF type, Contact point(s) and Facilities to investors)

Guidelines on notification and de-notification procedures

1. Purpose

This document gives further guidance on Circular CSSF 22/810 and contains detailed information on the relevant procedures, the expected documentation, and information regarding the submission of marketing notifications and de-notifications via eDesk or an API solution.

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

2. Scope

The following supervised entities must comply with the marketing notification, de-notification and pre-marketing procedures, including any updates for:

a. Luxembourg domiciled UCITS wishing to:
   - notify and de-notify arrangements made for marketing their shares in another Member State in accordance with Chapter 6 of the UCITS Law

b. Luxembourg AIFMs wishing to:
   - notify arrangements or de-notify arrangements made for marketing in Luxembourg of units or shares of an EU AIF that they manage in accordance with Article 29, respectively Article 29(1) of the AIFM Law;

c. Luxembourg AIFMs wishing to:
   - notify arrangements or de-notify arrangements made for marketing in another Member State of units or shares of an EU AIF that they manage in accordance with Article 30, respectively Article 30(1) of the AIFM Law;

d. Managers of Luxembourg EuVECAs or EuSEFs wishing to market funds in Luxembourg or another Member State in accordance with Article 16(1) of Regulation (EU) No 345/2013 or Article 17(1) of Regulation (EU) No 346/2013 respectively;

e. Luxembourg AIFMs engaging in pre-marketing in Luxembourg or another Member State in accordance with Article 28(1) of the AIFM Law;

f. Managers of Luxembourg EuVECAs and EuSEFs engaging in pre-marketing in Luxembourg or another Member State in accordance with Article 4a of Regulation (EU) No 345/2013 or Article 4a of Regulation (EU) No 346/2013 respectively.

To avoid doubt, the AIFMs mentioned under point b. and c. also include Luxembourg AIFMs of European Long-Term Investment Funds ("ELTIFs") that wish to (de-) notify arrangements for marketing of units or shares of ELTIFs in accordance with Article 29, Article 29(1), Article 30 and Article 30(1) of the AIFM Law respectively.

3. Documentation of the notification or de-notification submission

3.1 The AIF notification file submitted to the CSSF shall[1] contain the following documents:

Type of document	Abbreviation	Specifications
Notification letter	LN	The notification letter includes a program of operations identifying the investment vehicles the fund manager intends to market and information on where the investment vehicles are established. Specifications on the formatting and mapping of the notification letter are provided in Annex 1.
Management Regulations **or Articles of incorporation**	MR AI	The latest version of the Management Regulations of the common funds or the latest consolidated version of the Articles of Incorporation of investment companies must be annexed to the file as a single document.
Confirmation of payment	CP	This document should only be annexed to the file for marketing applications in host Member States that require confirmation of the payment of additional fees which are levied by the host Member State.

[1] *Annex 5 provides the detailed list of documents to be submitted depending on the chosen options as well as the expected indexation*

Mandate	MT	This document should only be annexed to the file for marketing applications in host Member States requiring a mandate.
Disclosure to investors Art. 23(1)	DI	Disclosure to investors as defined in Article 23(1) of the Alternative Investment Fund Managers Directive ("AIFMD") should be annexed to the file.

The following documents are optional:

Type of document	Abbreviation	Specifications
Prospectus	PC	The prospectus to be annexed to the file must be the latest visa-stamped prospectus by the CSSF or the latest version of the prospectus, if available.
Key Information Document	KI	According to Regulation (EU) No 1286/2014 of the European Parliament and the Council of 26 November 2014 on key information documents for packaged retail and insurance-based investment products (PRIIPs), the KI is to be provided in a language or translation accepted by the host Member State.
Latest Reports	AR SR	The audited annual report (AR) or unaudited semi-annual report, if available. The most recent published reports must be attached.
Marketing arrangements	MP	This document is optional and provides additional information on the arrangements made for marketing in the case where the structure of the notification letter would not permit the internal methods of marketing to be reproduced exactly.
Others	OT	Any other additional document

To be noted that for de-notifications, the file should include the de-notification letter.

Additional documents are optional for de-notifications but have to adhere to the file naming convention mentioned above. The specifications on the format of the de-notification letter are presented in Annex 1.

3.2 The UCITS notification file submitted to the CSSF shall[1] contain the following documents:

Type of document	Abbreviation	Specifications
Notification letter	LN	The notification letter must follow the model defined in the Commission UE Regulation 584/2010 of 2010 July 1st, implementing the 2009/65/CE directive. Specifications on the formatting and mapping of the notification letter are provided in Annex 1.
Management Regulations **or Articles of incorporation**	MR AI	The latest version of the Management Regulations of the common funds or the latest consolidated version of the Articles of Incorporation of investment companies must be annexed to the file as a single document.
Confirmation of payment	CP	This document should only be annexed to the file for marketing applications in host Member States that require confirmation of the payment of additional fees which are levied by the host Member State.
Prospectus	PC	The prospectus to be annexed to the file must be the latest visa-stamped prospectus by the CSSF.
Key Information Document	KI	According to Regulation (EU) No 1286/2014 of the European Parliament and the Council of 26 November 2014 on key information documents for packaged retail and insurance-based investment

[1] *Annex 5 provides the detailed list of documents to be submitted depending on the chosen options as well as the expected indexation*

		products (PRIIPs), the KI is to be provided in a language or translation accepted by the host Member State.
Latest Reports	AR SR	The audited annual report (AR) or unaudited semi-annual report, if available. The most recent published reports must be attached.

The following documents are optional:

Type of document	Abbreviation	Specifications
Mandate	MT	This document should only be annexed to the file for marketing applications in host Member States requiring a mandate.
Marketing arrangements	MP	This document is optional and provides additional information on the arrangements made for marketing in the case where the structure of the notification letter would not permit the internal methods of marketing to be reproduced exactly.
Others	OT	Any other additional document

To be noted that for de-notifications, the file should include the de-notification letter. The specifications on the format of the de-notification letter are presented in Annex 1.

Additional documents are optional for de-notifications but have to adhere to the file naming convention mentioned above.

3.3 CSSF attestation document

From 14 July 2024, the CSSF attestation is no longer required to be submitted for a cross-border notification request.

As a consequence:

- it is no longer possible to upload the "CSSF attestation" document type on the eDesk transmission portal (error d of part 1 of Annex 5 will be raised);
- the "CSSF attestation" is no longer available in the "Attached documents" section of the eDesk transmission portal. This rule applies to all requests, including those created or submitted before 14 July 2024;
- it is no longer possible to include the "CSSF attestation" document in a package submitted through the S3 API channel (error CBDF032 of part 3 of Annex 5 will be raised).

4. Submission of the application to the CSSF

The procedures falling within scope (**see point 2. above**) are all available through the eDesk portal: https://edesk.apps.cssf.lu/edesk-dashboard/dashboard/getstarted.

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

4.1 eDesk portal transmission

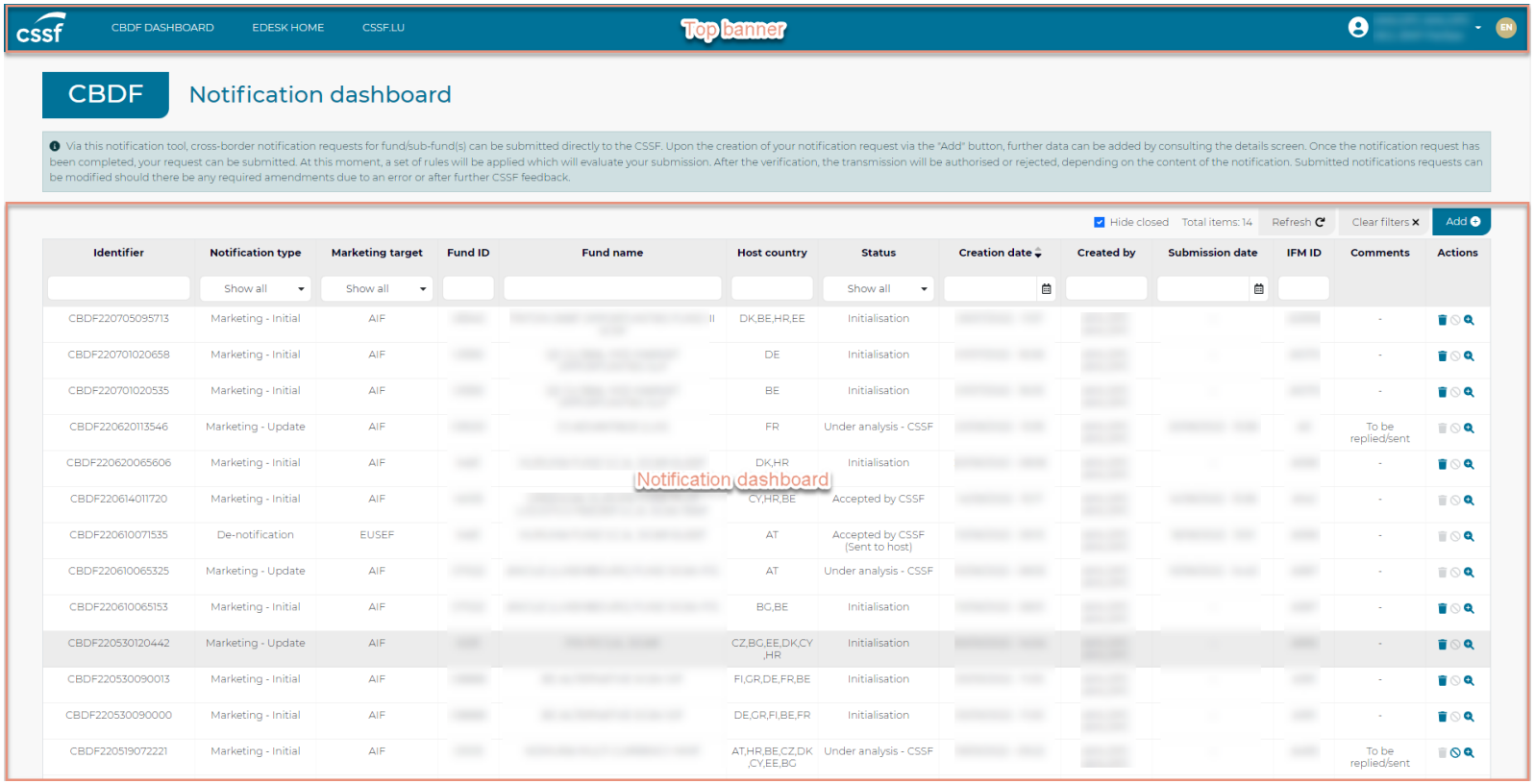
4.1.1 Connection to the tool

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 Home view

When connecting to the application, the home view is split into two parts, as shown in the picture below:



4.1.2.1 Top banner

The top banner contains the following elements (from left to right):

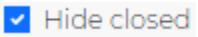
- a link to the global eDesk Dashboard (click on "CSSF"), a link to the CBDF Notification Dashboard (click on "CBDF Dashboard");
- a link to the CSSF website;
- the name and entity of the person connected;
- the "User profile", "Entity management" (if advanced user), "Entity choice" (in case of multiple active entity links) and "Log out" menus.

4.1.2.2 Notification dashboard

The main part of the screen 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
- Notification type (Marketing – Initial, Marketing – Update, De-notification)
- Marketing target (AIF, AIF + ELTIF, ELTIF, EuVECA, EuSEF, UCITS)
- Fund ID,
- Fund 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,
- IFM ID,
- Comments,
- Actions (click on the magnifying glass icon or double-click on a given line).

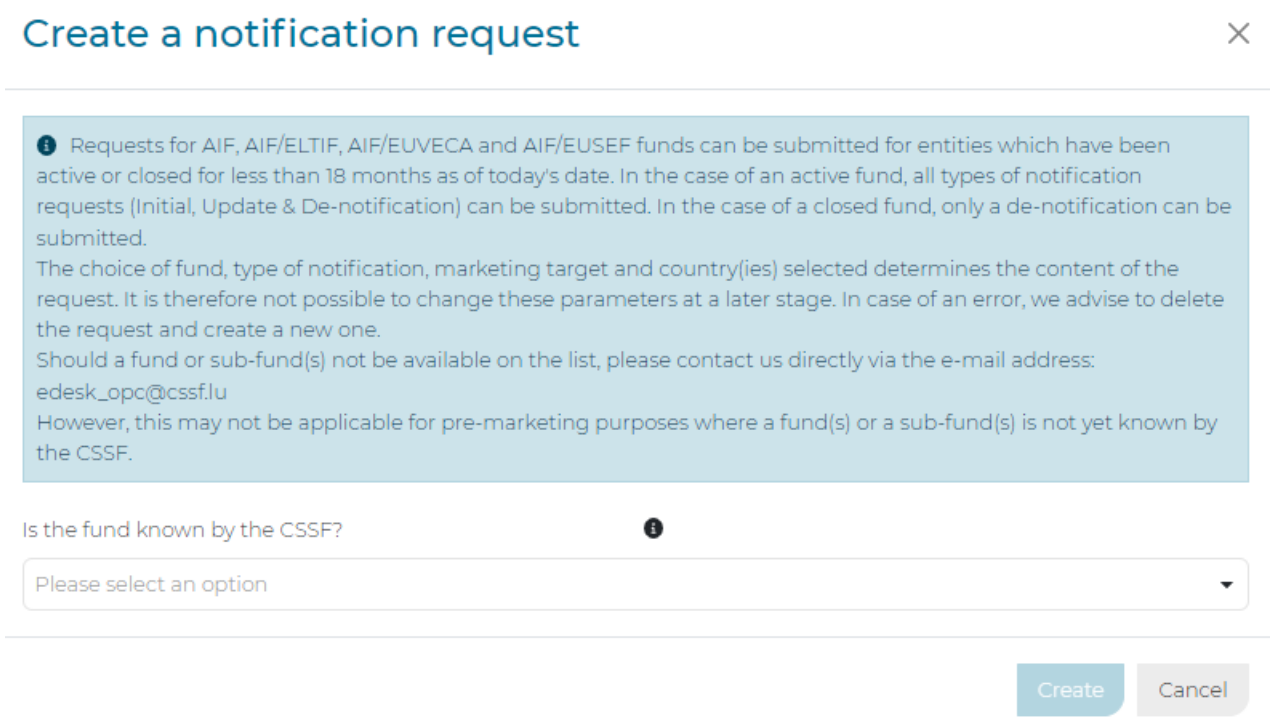
The filter  at the top right of the dashboard allows to display only unprocessed requests; requests already processed are shaded in grey.

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 if the fund is known by the CSSF
  - "Yes" if the fund is known by the CSSF
  - "No" if the fund is not known by the CSSF or the fund has not yet been established (applicable only for pre-marketing notifications)
  - "Other" if only a certain strategy is pre-marketed (applicable only for pre-marketing)
- If the fund is known by the CSSF, select the fund category (AIF, AIF/ELTIF, AIF/EuSEF, AIF EuVECA, UCITS)
- Select the entity (IFM and/or fund):
  - If the fund is known by the CSSF (option "Yes"), select the fund (search by filtering the list and double-click on the relevant line)
  - If the fund is not known by the CSSF or the fund has not yet been established (option "No"), select an IFM (search by filtering the list and double-click on the relevant line) and fill in the fund name
  - If only a certain strategy is pre-marketed (option "Other"), select an IFM (search by filtering the list and double-click on the relevant line)
- Select the notification type (Pre-Marketing, Marketing – Initial, Marketing – Update, De-notification)
- Depending on the notification type, optionally select the respective marketing options (AIF-Article 32 AIFMD, EuSEF-Article 17(1) of the Regulation on European social entrepreneurship funds (No. 346/2013), EUVECA- Article 16(1) of Regulation on European Venture Capital Funds (No. 345/2013)).

- Select the relevant Member states (multiples choices allowed in the list of countries, excepted for UCITS)
- Click on the "Create" button

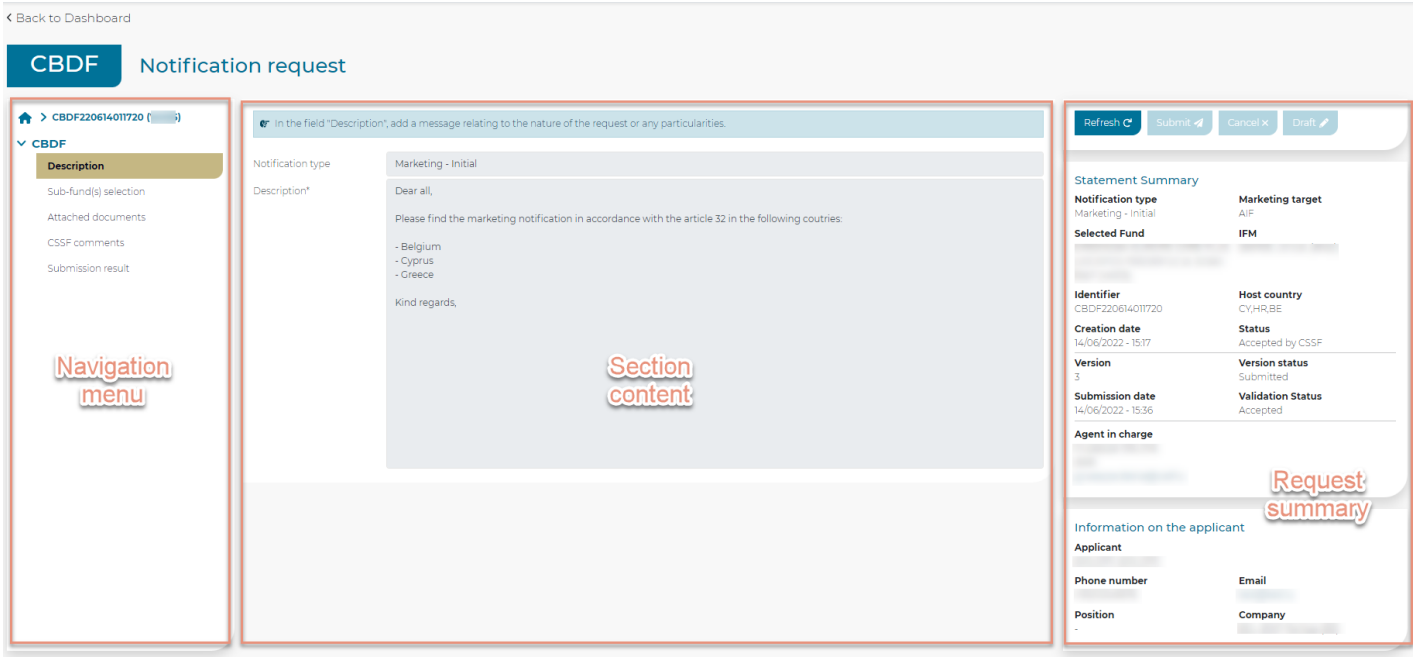


4.1.4 Detailed view

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

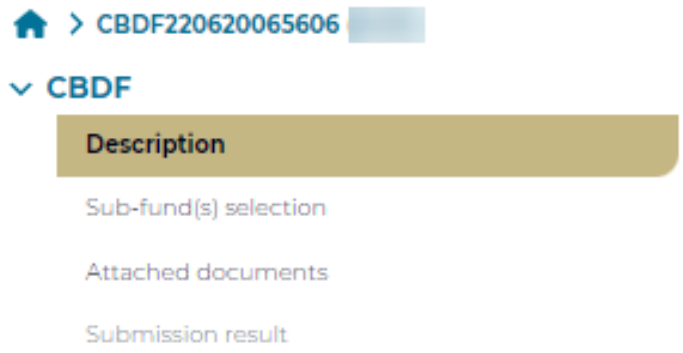
The screen is split into 4 parts: top banner, navigation menu, section content and request summary.

The top banner is the same as the one on the home screen of the application (see point **4.1.2.1 above**).



4.1.4.1 Navigation Menu

The left part of the screen is dedicated to the navigation through the following tabs: Description, Sub-fund(s) selection and Attached documents, which will be described below.



The section coloured in light brown indicates the section you are currently in.

4.1.4.1.1 Description

This section enables you to edit the purpose of the notification and, in case of an amendment, to give more information about this amendment.

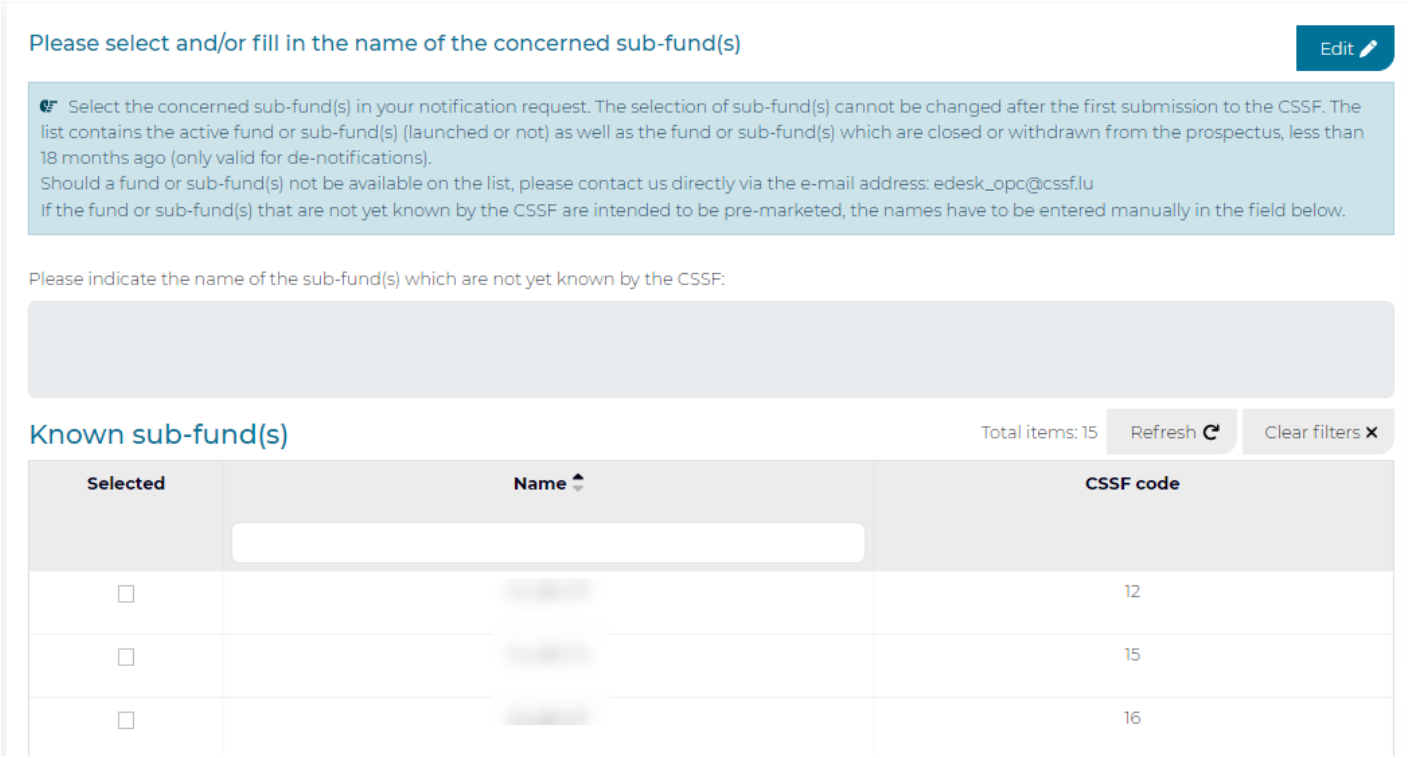
4.1.4.1.2 Sub-fund(s) selection

This section enables you to select the sub-fund(s) concerned by the notification.

This section is available if the fund is known by the CSSF or if the fund exists but is not already known by the CSSF.

The section is structured in different ways depending on the case:

- If the fund is known by the CSSF:

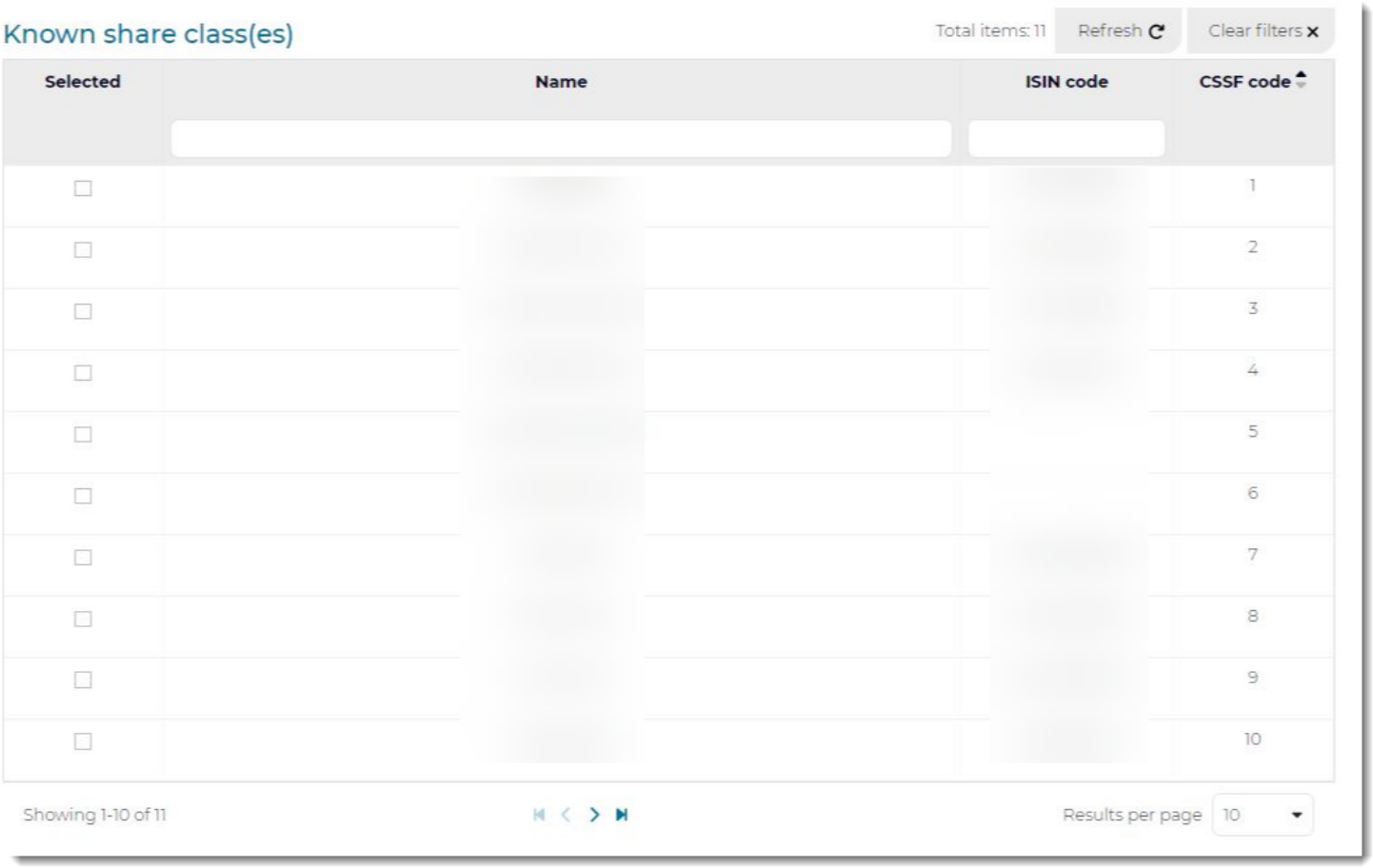


For known sub-funds, checking a tick box will add the intended fund/sub-fund to the selection.

In case of sub-fund(s) not known by the CSSF, specify the name of the sub-fund(s) in the textbox provided for this purpose.

- If the fund is not known by the CSSF or the fund has not yet been established (applicable only for pre-marketing notifications):

For UCITS initial notifications, it is mandatory to select at least one share class by known sub-funds concerned. The share class selection is accessible by clicking on the magnifying glass icon.

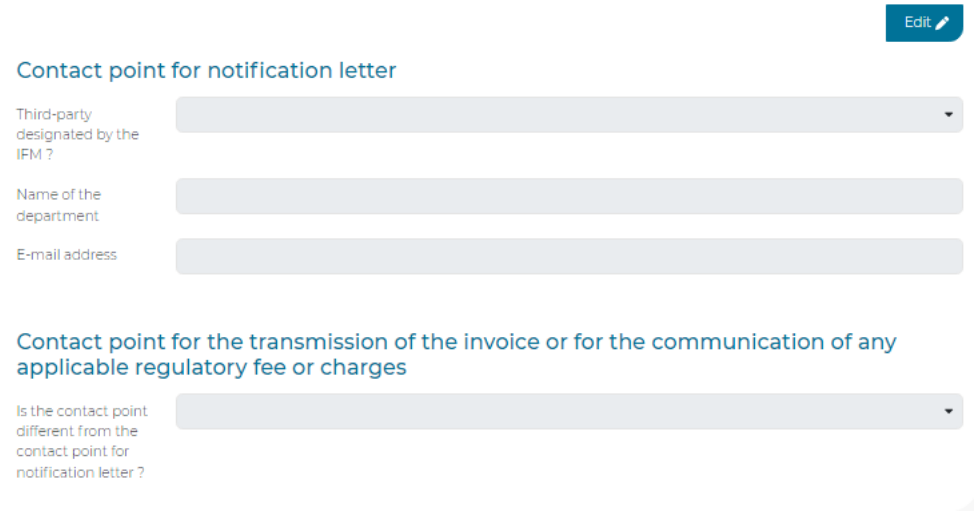


Checking a tick box will add the intended share class to the selection.

4.1.4.1.3 Contact point(s) (as of 11 November 2024)

This section enables you to define the contact point concerning the notification letter and, when applicable, the contact point concerning invoices. The data must comply with the information defined in the notification letter document.

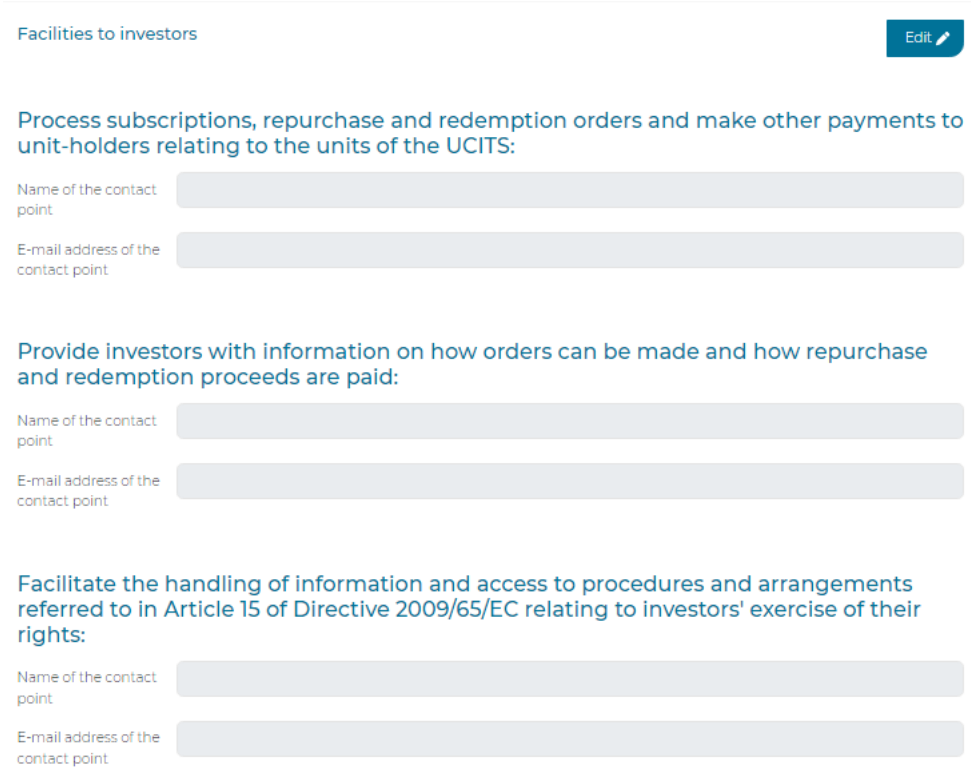
This section is not available for pre-marketing request.



4.1.4.1.4 Facilities to investors (as of 11 November 2024)

This section enables you to define the contact(s) information concerning the facilities for investors. The data must comply with the information defined in the notification letter document.

This section is available only for UCITS initial notification.



4.1.4.1.5 Attached documents

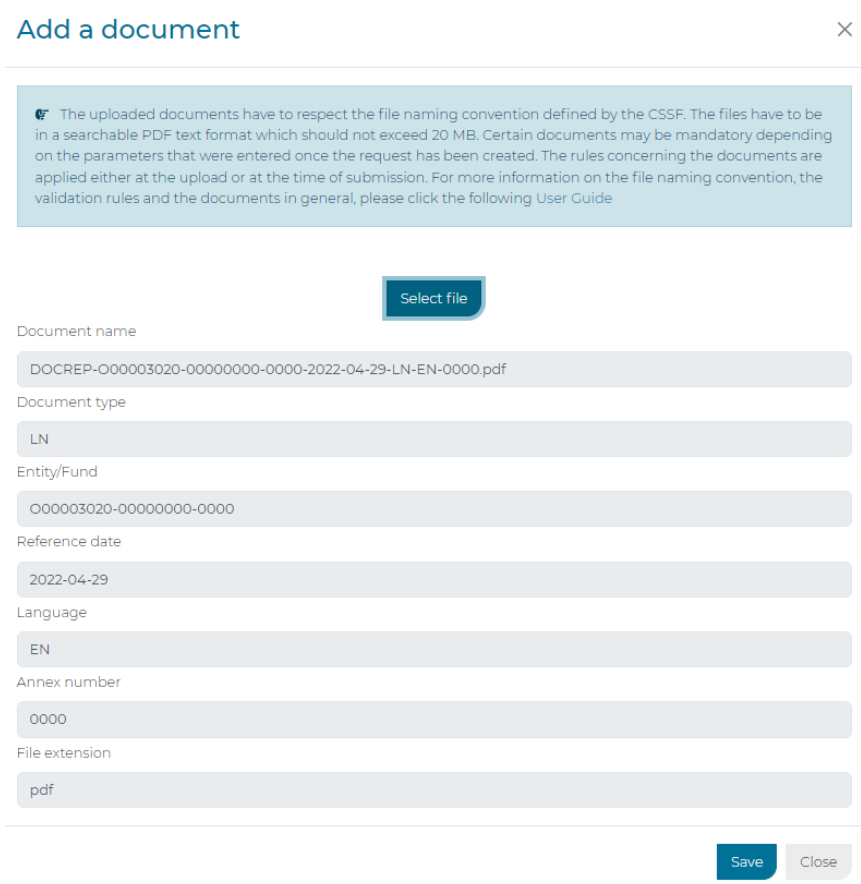
This section enables you to attach all the necessary documents to the notification file.

Description of the file naming convention to be respected when uploading the documents can be found in Annex 2.

The following columns are available:

- Document type
- Document name
- Upload date
- Transmission date
- Request version
- 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.

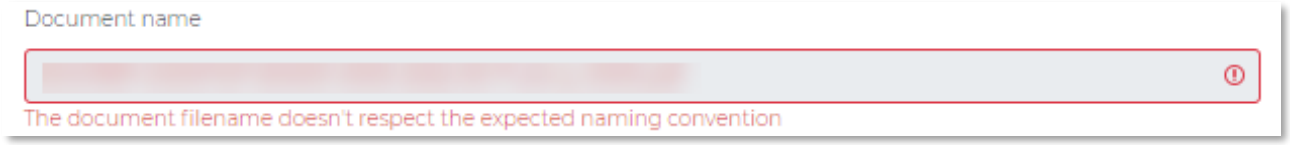
To add a document, simply press the “Add” button. A pop-up window opens as indicated in the picture below:



Selecting a document in your file browser triggers the auto-completion of the form fields: Document name, Document type, Entity/Instrument, Reference date, Language, Annex number, File extension.

Please note that the file naming convention must be respected when naming the documents. In case of a naming error, the following error message will appear:

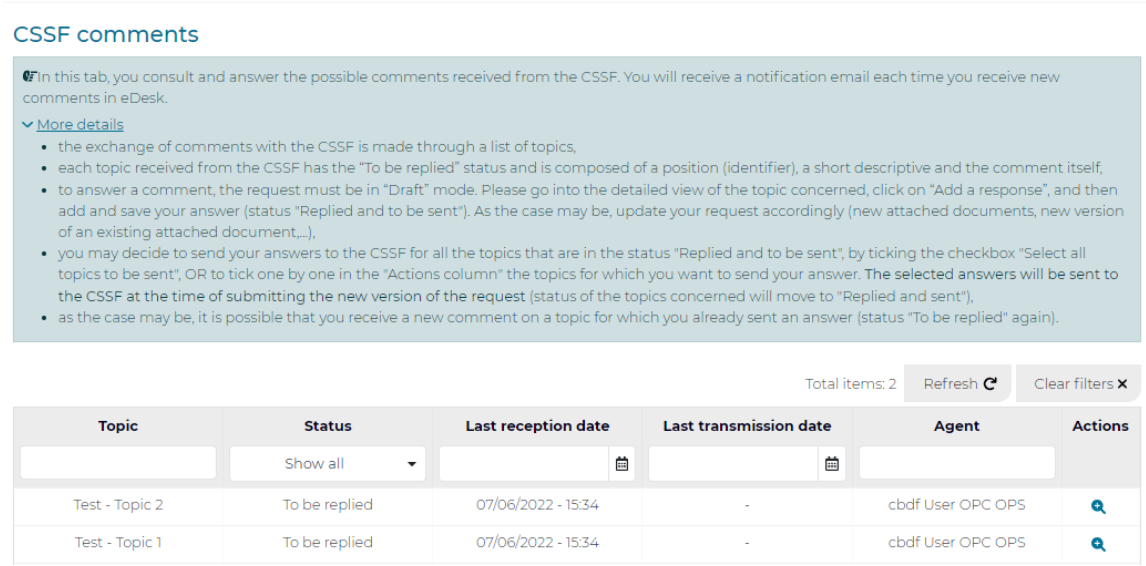
Depending on the size of the file, the upload and feedback of the documents may take additional time.



4.1.4.1.6 Comment

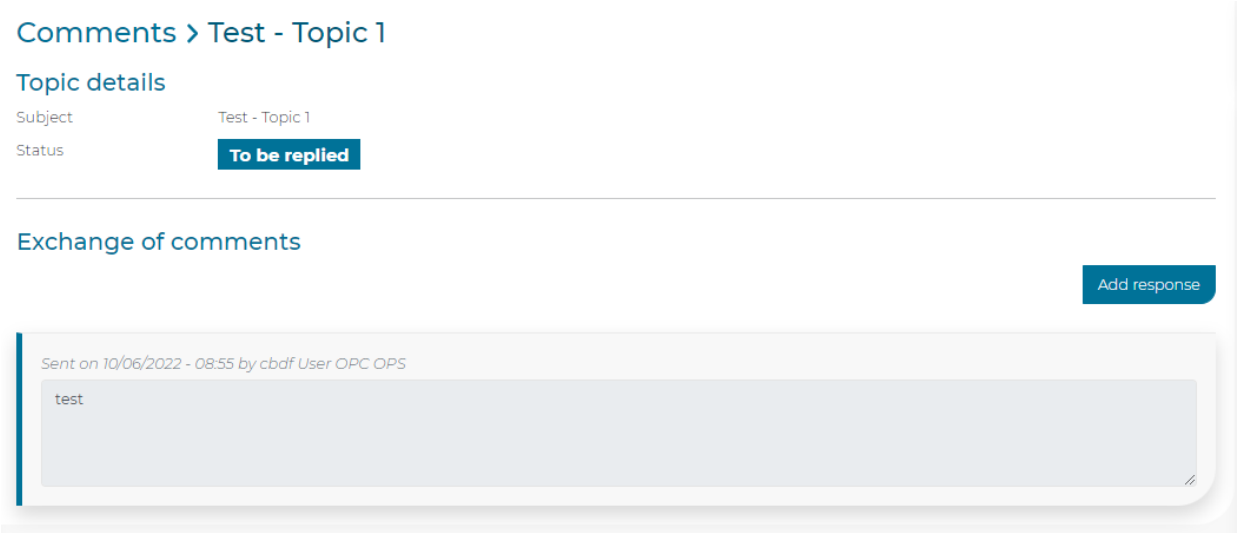
CSSF exchanges comments with the applicant on its own initiative (if necessary) via a list of topics.

- ✓ 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

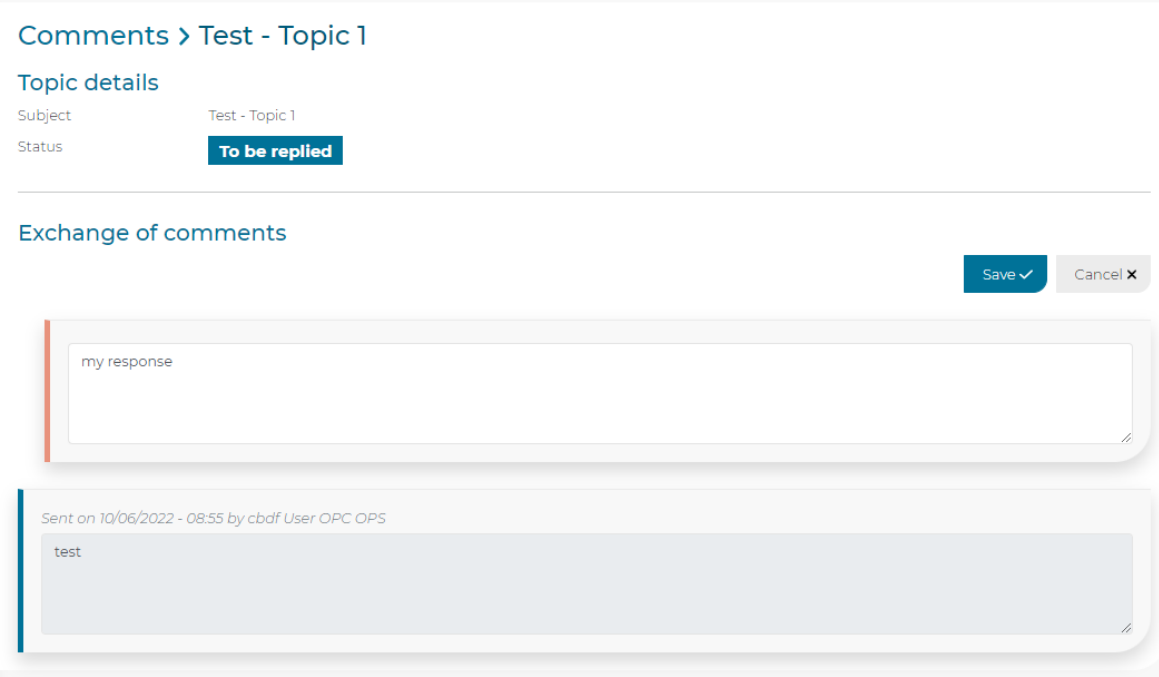


To reply to the comments, the request must be in **draft** mode (see point 4.1.4.4 below):

- To reply to a CSSF Comment: Access the detailed view of the respective topic and click on "Add a response":

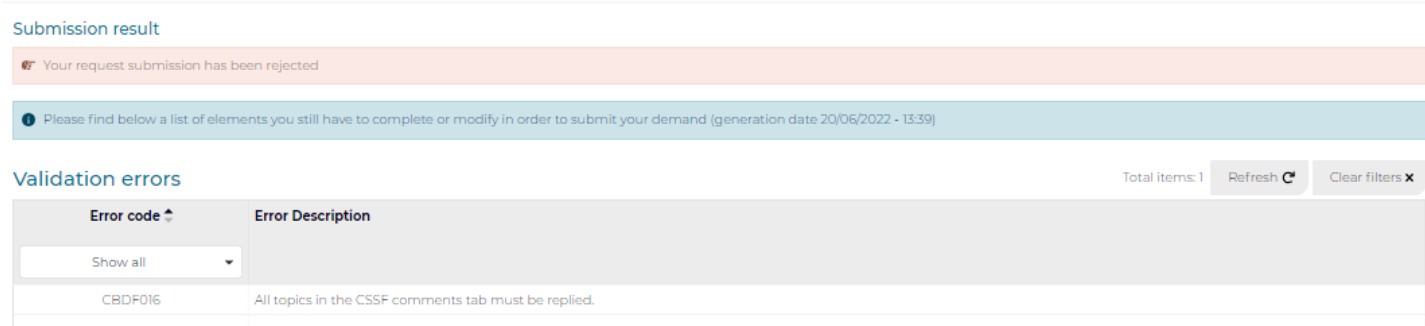

Comments › Test - Topic 1
Topic details
Subject
Test - Topic 1
Status
To be replied
Exchange of comments
Add response
Sent on 10/06/2022 - 08:55 by cbdf User OPC OPS
test

➢ Then press "Save":



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 topic statuses:

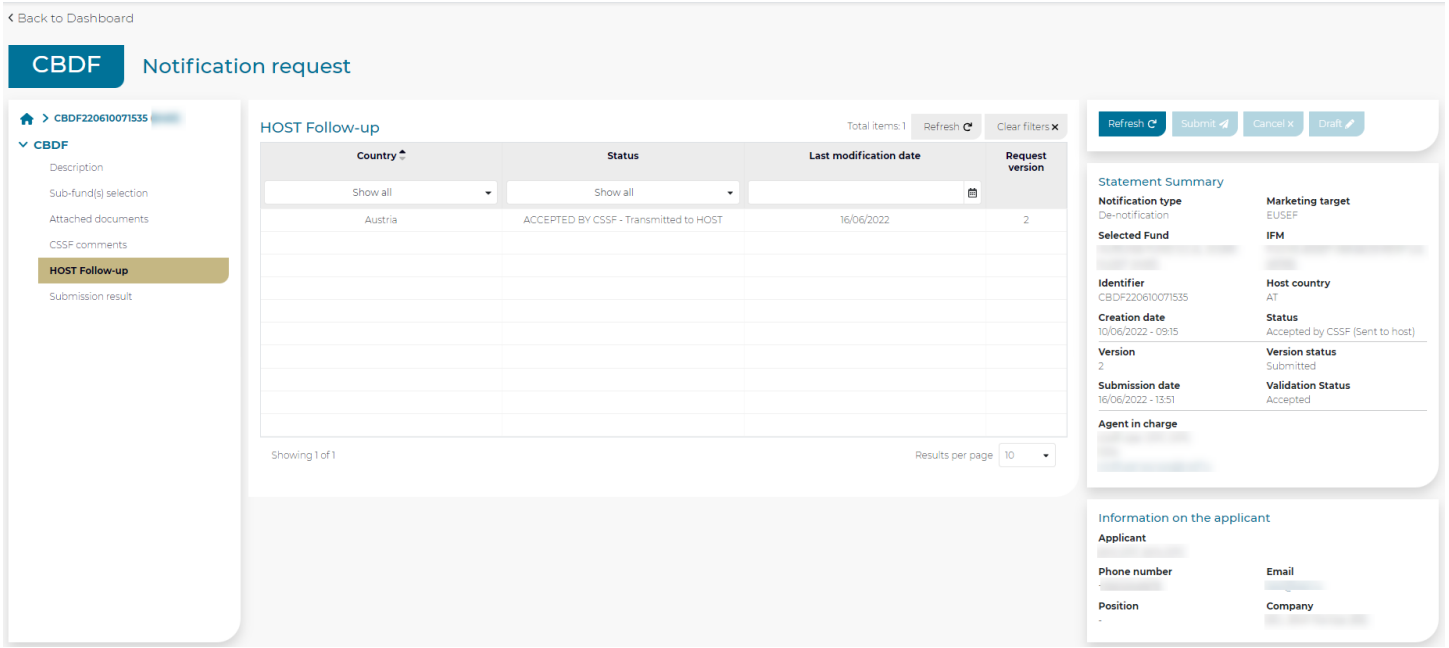
A single topic can have the following statuses:

- "**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). As long as 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

4.1.4.1.7 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 (Under analysis CSSF (Not transmitted), Accepted by CSSF (Transmitted to HOST), Under analysis HOST, Accepted by HOST, Rejected by HOST)
- Last modification date
- Request version

4.1.4.1.8 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.

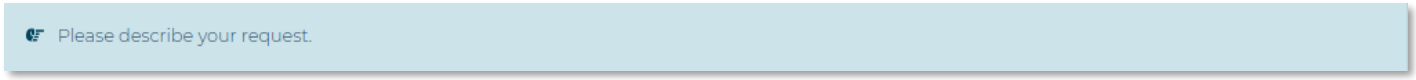
Please note that:

(i) it is not possible to save a form until all the mandatory fields are filled in.

(ii) you have to exit the "Edit" mode to fill in the table.

Additional information:

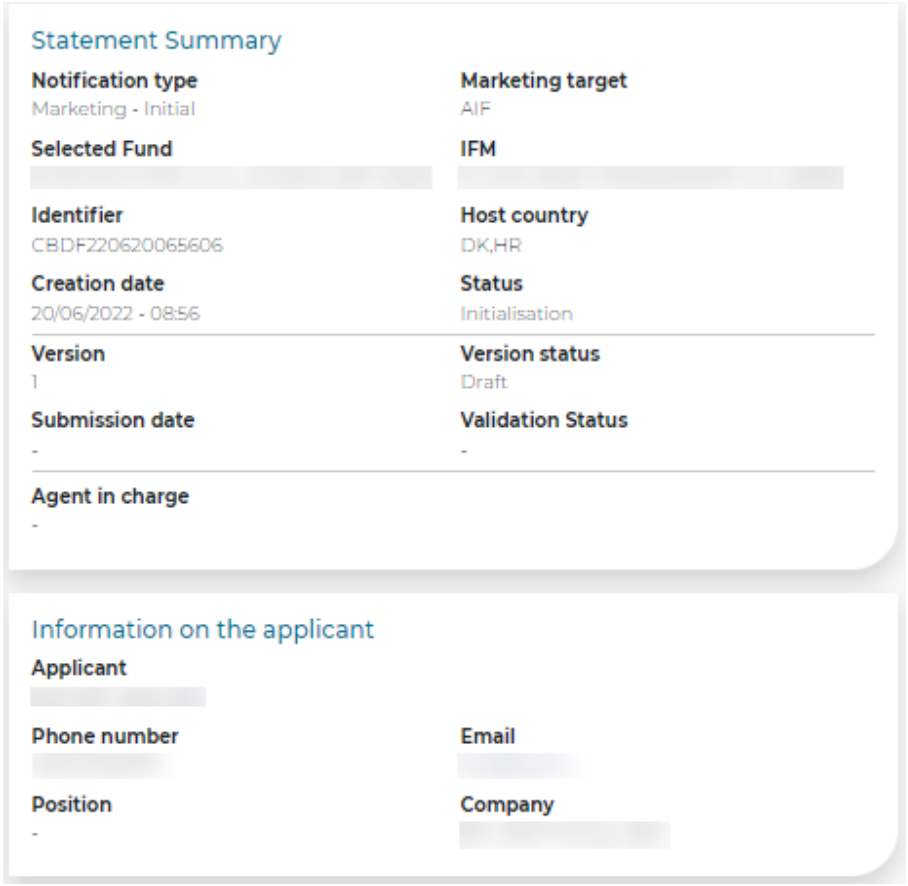
- Some guidelines are available in the form of blue Information Boxes (see below)
- In some cases, a click is required to expand the guideline information.



4.1.4.3 Request summary

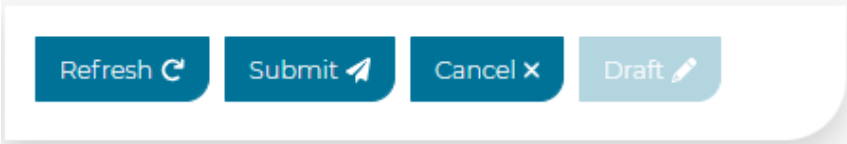
The right part of the screen presents a "Request summary" with the following information:

- Statement summary: notification type, marketing target, selected fund, IFM, host country, identifier, version, creation date, submission date, status, agent in charge, validation status
- Information on the applicant: applicant, phone number, email, position, company


Statement Summary
Notification type
Marketing - Initial
Marketing target
AIF
Selected Fund
IFM
Identifier
CBDF220620065606
Host country
DK,HR
Creation date
20/06/2022 - 08:56
Status
Initialisation
Version
1
Version status
Draft
Submission date
-
Validation Status
-
Agent in charge
-
Information on the applicant
Applicant
Phone number
Email
Position
-
Company

4.1.4.4 Action buttons on the request

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

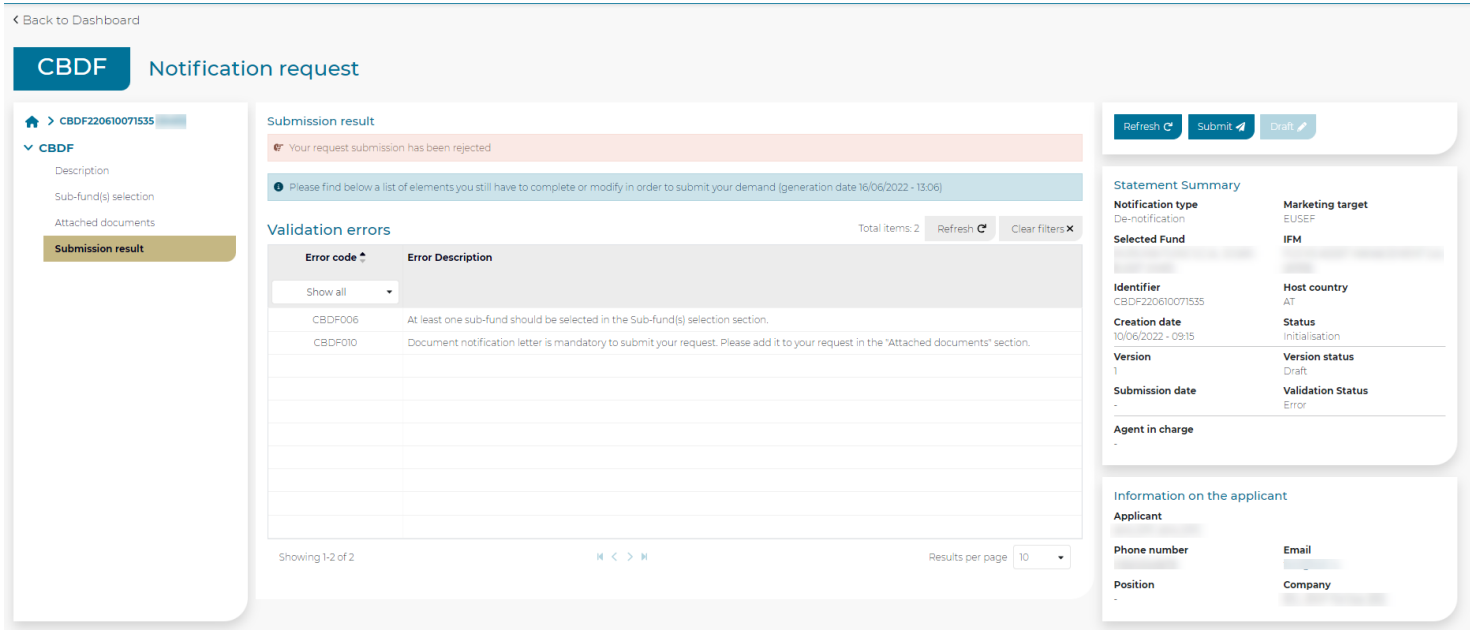


- The "**Submit**" button is always visible when the request is in draft mode.
- The "**Draft**" button is always visible after submission of the first version of the request to the CSSF. The button is no longer visible once the CSSF has accepted the request but it is always possible to prepare and submit 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
- The classic "**Refresh**" button is always available except for closed requests

4.1.5 Notification file processing

The CSSF will proceed to evaluate the submitted notification which entails a series of formal verifications in order 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 5.

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 has to 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 marketing notifications**".

As already said above, this channel is at this time only available for UCITS cross-border marketing notifications and de-notifications.

4.2.1 General principles

The API channel can be used only to do the first filing of a notification request.

A package transmitted through the API channel will be subject to a list of controls (see Annex 5 below).

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

If no error is raised, the package is integrated in 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. S, K or O) must be used.

4.2.2 Notification package format

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

- all the documents necessary to the notifications in a PDF format. The file naming convention to respect can be found in Annex 2.
- a JSON file containing data concerning the notification such as the concerned sub-funds/share classes, information on the remaining investors for de-notifications 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.

Here are the specifications for zip archive:

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 3.

4.2.2.3 JSON file specifications

The data concerning the cross-border marketing notification for a fund shall 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 01/07/2022 to 01/01/2024	S3 system reporting is not available for this version
From 02/01/2024 to 10/11/2024	JSON schema (applicable only for UCITS)
From 11/11/2024	JSON schema (applicable only for UCITS)

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 a 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_opc@cssf.lu.

4.2.3.1 Naming convention

The feedback file naming convention is described in Annex 4.

4.2.3.2 File content

A feedback file contains several information:

- A status at the report level;
- ReportUids recently processed;
- Feedback messages;

- Host(s) feedback

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 marketing 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.

4.2.3.2.4 Host(s) feedback

The Host feedback status can have three different values:

- PENDING when the package has been sent to the HOST country and its feedback is expected.
- ACCEPTED_HOST when the HOST country has accepted the package.
- REJECTED_HOST when the HOST country has rejected the package.

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

In case 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 in the dashboard of the entity linked to the bucket whereas the accepted packages are listed in 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 marketing 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 the chapter 4.2.4.

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

5. Contact information

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

Annexes: 5

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

Language	Context	Link
EN	Notification letter for pre-marketing by AIFMs established in Luxembourg	https://www.cssf.lu/en/Document/notification-letter-for-pre-marketing-by-aifms-established-in-luxembourg/
EN	Notification letter for marketing by EuVECA Managers	https://www.cssf.lu/en/Document/notification-letter-for-marketing-by-euveca-managers/
EN	Notification letter for marketing by EuSEF Managers	https://www.cssf.lu/en/Document/notification-letter-for-marketing-by-eusef-managers/
EN	Notification letter for the marketing of units or shares of EU AIFs in Member States and/or home Member State of the AIFM (Article 31/32 of the AIFMD)	Notification letter for the marketing of units or shares of EU AIFs/ELTIFs in Member States and/or home Member State of the AIFM (Article 31(2)/32(2) of Directive 2011/61/EU (AIFMD) and Article 31 of Regulation (EU) 2015/760 on ELTIFs) – CSSF
EN	Notification letter for the marketing of units or shares of EU AIFs/ELTIFs in Member States and/or home Member State of the AIFM (Article 31/32 of the AIFMD and Article 31 of Regulation (EU) 2015/760 on ELTIFs)	Notification letter for the marketing of units or shares of EU AIFs/ELTIFs in Member States and/or home Member State of the AIFM (Article 31(2)/32(2) of Directive 2011/61/EU (AIFMD) and Article 31 of Regulation (EU) 2015/760 on ELTIFs) – CSSF
EN	Any additional information referred to in Article 23(1) for each AIF the AIFM intends to market (Paragraph (f) of Annex IV of AIFMD)	Any additional information referred to in Article 23(1) for each AIF the AIFM intends to market (Paragraph (f) of annex IV of AIFMD) – CSSF

EN	De-notification letter AIF compartment	https://www.cssf.lu/en/Document/aif-de-notification-letter-aif-compartment/
EN	Initial notification letter UCITS	https://www.cssf.lu/en/Document/initial-notification-letter-ucits/
EN	De-notification letter UCITS (compartments and share classes)	https://www.cssf.lu/en/Document/de-notification-letter-ucits-compartments-and-share-classes/

A notification package must contain the PDF notification letter or alternatively a de-notification letter reproducing the template published by the CSSF.

Annex 2: File naming convention description to be observed when transmitting documentation

All documents added to a notification request must reserve the following file naming convention:

Format:

TYRDIR-ENNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-DO-LL-IIII.ext

Signification:

Code	Signification	Structure	Authorised values
TYR	Reporting type	Char(3)	• *DOC* for « Unstructured documents »
DIR	Direction	Char(3)	• *REP* for Report: file sent to the CSSF This applies to all document types except the CSSF certificate (document code AT). • *FDB* for Feedback: file generated by the CSSF This applies only to prospectus (document code PC) ~~and CSSF attestation (document code AT)~~.
E	Entity type	Char(1)	• *A* for a document regarding an AIFM • *O*, *K* or *V* for a document regarding an investment fund
NNNNNNNN	Identifier of the entity	Number(8)	• *00000001…99999999* (Enter the CSSF entity identifier and fill out the remaining character spaces with "0")
CCCCCCCC	Identifier of the sub-fund	Number(8)	• *00000001…99999999* for an entity with multiple compartments • *00000000* for an entity without compartment • *00000000* is also to be used where the document covers more than one sub-fund
PPPP	Share type	Number(4)	• *0001…9999* for an entity with multiple compartments and shares • *0000* is to be used where the document covers more than one share
YYYY	Year	Number(4)	• *Year*
MM	Month	Number(2)	• *Month*
DD	Day	Number(2)	• *Day* (YYYYMMDD: this refers to the reference date of the document and not the sending date)

DO	Document type	Char(2)	• *LN* - Notification letter • *PC* - Prospectus • ~~*AT* - CSSF attestation letter~~ • *MR* - Management regulations • *AI* - Articles of incorporation • *AR* – Annual report • *SR* – Semi-annual report • *CP* - Confirmation of payment • *MP* - Marketing arrangements • *KI* – Key information document • *DI* - Disclosure to investors Art. 23(1) • *MT* - Mandate • *OT* – Others	
LL	Document language	Char(2)	Language code ISO 639-1 • *FR* (French) • *DE* (German) • *EN* (English) • *NL* (Dutch) • *BG* (Bulgarian) • *HR* (Croatian) • *EL* (Greek) • *CS* (Czech) • *DA* (Danish) • *ET* (Estonian) • *FI* (Finnish) • *HU* (Hungarian) • *IS* (Icelandic)	• *GA* (Irish) • *IT* (Italian) • *LV* (Latvian) • *LT* (Lithuanian) • *MT* (Maltese) • *NB* (Norwegian Bokmål) • *PL* (Polish) • *PT* (Portuguese) • *RO* (Romanian) • *SK* (Slovak) • *SL* (Slovenian) • *ES* (Spanish) • *SV* (Swedish)
IIII	Annex number	Number(4)	• *0000* for the main document	

			• *0001* and following: for annexes to the main document and track changes versions of documents
.ext	Extension	Char(5)	• *.pdf* (PDF)

Example :

- DOCREP-O00000001-00000000-0000-2022-12-31-AR-DE-0000.pdf

Annual report in German for UCI No. 1 with the reference date "31 December 2022"

- DOCFDB-O00000001-00000000-0000-2022-12-31-PC-FR-0000.pdf

Prospectus in French for UCI No. 1 with the reference date "31 December 2022", signed and stamped (thus sent to the UCI) by the CSSF.

Annex 3: File naming convention description to be observed when transmitting ZIP package

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

Code	Meaning	Structure	Authorised value
NOTREP	Reporting type	Char(4)	'NOTREP' (constant)
-	Separator	Char(1)	'-' (constant)
E	Reporting entity	Char(1)	'O' (as only UCITS is possible at this time)
NNNNNNNN	Identification number	Number(8)	00000001…99999999 (CSSF code of the fund)
-	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 • AT – Austria • BE – Belgium • BG – Bulgaria • CY – Cyprus • CZ – Czech Republic • IE – Ireland • IS – Iceland • IT – Italy • LI – Liechtenstein • LT – Lithuania • LV – Latvia

			• DE – Germany • DK – Denmark • EE – Estonia • GR – Greece • ES – Spain • FI – Finland • FR – France • HR – Croatia • HU – Hungary	• MT – Malta • NL – Netherlands • NO – Norway • PL – Poland • PT – Portugal • RO – Romania • SE – Sweden • SI – Slovenia • SK – Slovak Republic
-	Separator	Char(1)	'-' (constant)	
TYP	Notification type	Char(3)	INI – Initial 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 identified a package concerning a fund. It is also used to prevent a file to be processed several times and to allow the CSSF to share a processing order of files concerning a same fund (if applicable).

A ZIP file with the same UUID of another ZIP file concerning the same fund will be rejected with the error CBDF006 (cf. Annex 54.2.3.2.3).

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 on: Universally Unique IDentifier (UUID)

Annex 4: File naming convention description for CSSF feedback files

Format: SourceFileName_FEEDBACK_TrackingCode.json

Code	Meaning	Structure	Authorised value
SourceFileName	Reporting entity	Char(N)	Submitted file name - Refer to the ZIP File name structure in Annex 3
_	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 CBDFYYYYMMDDXXXXX where:

			YYYYMMDD: year, month and day of submission XXXXX: daily increment
_	Separator	Char(1)	'_' (constant)
.ext	Extension	Char(5)	.json (constant)

Annex 5: 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 global file naming convention of the uploaded document is not respected (see Annex 2).
b. The size of the uploaded document exceeds 30MB.
c. The uploaded document does not match the fund/AIFM selected when the request was initiated.
d. The document type in the file naming convention does not match one of the expected values (see Annex 2).
e. The document is loaded as a CSSF generated document (DOCFDB) and is not a prospectus (document code PC) ~~or a CSSF attestation (document code AT)~~.
~~f. The CSSF attestation document type (document code AT) is used for a document using the DOCREP code which is intended for documents generated by intermediaries only.~~
g. The language of the document does not match one of the expected ISO codes (see Annex 2).
h. The indexation level and the type of document are not compatible (see part 4 hereafter).
i. The document is not permitted for the type and object of the notification (see part 4 hereafter).

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

The 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
CBDF001	The section *Description* is required, please complete this section.
CBDF002	The document is linked to a sub-fund not selected in the Sub-fund(s) selection section.
CBDF003	The main document does not exist when adding an annex other than '0000' (not applicable for update notification type)
CBDF004	Two documents have identical file names
CBDF005	Two documents only differ by their reference date (not applicable for update notification type)
CBDF006	At least one sub-fund should be filled in or selected in the Sub-fund(s) selection section
CBDF007	Specific questions on de-notification and investors (only concerns de-notifications) have not been filled in the detailed view of a sub-fund, for each relevant country
CBDF008	Where applicable, the indexation of a document does not match one of the sub-funds selectable in the *Sub-fund(s)* selection tab
CBDF009	An invalid document has been uploaded
CBDF010	The document *Notification letter* (code LN) is missing if mandatory (see part 4 hereafter)
~~**CBDF011**~~	~~The document *Attestation CSSF* (code AT) is missing if mandatory (see part 4 hereafter)~~
CBDF012	At least one of the two constituent documents *Articles of incorporation* (code AI) or *Management regulations* (code MR) is missing if mandatory (see part 4 hereafter)
CBDF013	The document *Disclosure to investors Art. 23(1)* (code DI) is missing if mandatory (see part 4 hereafter)
CBDF014	The document *Confirmation payment* (code CP) is missing if mandatory (see part 4 hereafter)
CBDF015	At least one document is still uploading

CBDF016	All topic in the CSSF comments tab must be replied
CBDF017	The document *Key information document* (code KI) is missing for a selected share class if mandatory (see part 4 hereafter)
CBDF018	The document *Prospectus signed by the CSSF* (code PC) in English, French or German is missing if mandatory (see part 4 hereafter)
CBDF019	The document *Annual report* (code AR) is missing whereas the fund is older than 22 months if mandatory (see part 4 hereafter)
CBDF020	At least one of the two documents *Annual report* (code AR) or *Semi-annual report* (code SR) is missing whereas the fund is older than 14 months if mandatory (see part 4 hereafter)
CBDF021	The document *Semi-annual report* (code SR) is missing whereas the annual report is older than 8 months if mandatory (see part 4 hereafter)
CBDF022	For UCITS notification, the document *Key information document* (code KI) cannot be older than 12 months
CBDF023	For UCITS notification, the document *Annual report* (code AR) cannot be older than 16 months
CBDF024	The document *Notification letter* (code LN) must be unique
CBDF025	The document is linked to a share class not selected in the *Sub-fund(s)* selection section.
CBDF026	For an UCITS initial notification, at least one share class should be selected for each sub-fund selected in the Sub-fund(s) selection section
CBDF027	For an UCITS initial notification, the reference date of the document does not match the date of the last document registered to the CSSF (applicable to KI, AI, MR, AR and SR)
CBDF028	Where applicable, the indexation of a document does not match one of the share classes selectable in the *Sub-fund(s)* selection tab

CBDF029	For an UCITS initial notification, the documents ~~*Attestation CSSF* (code AT) and~~ *Prospectus signed by the CSSF* (code PC) in English, French or German must be signed by the CSSF.
CBDF030	For an UCITS initial notification, the document *Prospectus signed by the CSSF* (code PC) in English, French or German must be the last version signed by the CSSF
CBDF031 (as of 11 November 2024)	The section *Contact point(s)* is required, please complete this section.
CBDF032 (as of 11 November 2024)	The section *Facilities to investors* is required, please complete this section.

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

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

Error Code	Label	Context
CBDF001	The archive is corrupted	CSSF code of the fund
CBDF002	The archive name is invalid	
CBDF003	The archive size cannot exceed 80MB	CSSF code of the fund
CBDF004	The host country defined in the archive name is not authorized for a marketing notification	CSSF code of the fund
CBDF005	The fund defined in the archive name is not in scope for the type of notification	CSSF code of the fund
CBDF006	The archive with the reportUID defined in the filename has already been received for this entity	CSSF code of the fund
CBDF007	The archive must contain a single JSON file	CSSF code of the fund
CBDF008	JSON file does not respect JSON schema	CSSF code of the fund
CBDF009	The unique identifier in the JSON is different from the unique identifier used in the archive name	CSSF code of the fund
CBDF010	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 fund
CBDF011	The marketing target defined in the JSON file is not coherent with the specified fund	CSSF code of the fund

CBDF012	The selection of multiple countries is not possible for UCITS notification	CSSF code of the fund
CBDF013	The host country defined in the archive name is not consistent with the country defined in the JSON file	CSSF code of the fund
CBDF014	The notification type 'Update' is not possible for UCITS notification	CSSF code of the fund
CBDF015	The notification type in the JSON file is different from the notification type used in the archive name	CSSF code of the fund
CBDF016	Luxembourg cannot be notified for UCITS	CSSF code of the fund
CBDF017	The field "fieldname" is required due to field value [field:value]	CSSF code of the fund
CBDF018	In case of UCITS initial notification, at least one share class must be selected for the subfund	CSSF code of the fund CSSF code of the subfund
CBDF019	At least one subfund must be selected	CSSF code of the fund
CBDF020	The subfund is referenced multiple times	CSSF code of the fund CSSF code of the subfund
CBDF021	The subfund is not in the scope for this type of notification	CSSF code of the fund CSSF code of the subfund
CBDF022	The share class is referenced multiple times	CSSF code of the fund CSSF code of the subfund CSSF code of the share class

CBDF023	The share class is not in the scope for this type of notification	CSSF code of the fund CSSF code of the subfund CSSF code of the share class
CBDF024	The question concerning the remaining investors is referenced multiple times for the pair subfund/country	CSSF code of the fund CSSF code of the subfund Host country
CBDF025	The question concerning the remaining investors must be answered for the pair subfund/country	CSSF code of the fund CSSF code of the subfund Host country
CBDF026	The question concerning the remaining investors is answered for an incorrect HOST for the subfund	CSSF code of the fund CSSF code of the subfund Host country
CBDF027	The CSSF code of the contact entity doesn't correspond to an existing eDesk entity	CSSF code of the fund
CBDF028	The contact person email address doesn't correspond to an user of the eDesk entity corresponding to the contact entity defined	CSSF code of the fund
CBDF029	The document does not respect the naming convention	CSSF code of the fund Document name
CBDF030	The size of the document cannot exceed 30MB	CSSF code of the fund Document name

CBDF031	The document does not match the fund defined in the archive name and the JSON file	CSSF code of the fund Document name
CBDF032	The document type does not match one of the expected value	CSSF code of the fund Document name
CBDF033	The document is specified as a CSSF generated document (DOCFDB) but is not defined as a prospectus (document code PC) ~~or a CSSF attestation (document code AT)~~	CSSF code of the fund Document name
~~**CBDF034**~~	~~The document is not specified as a CSSF generated document (DOCREP) but is defined as a CSSF attestation (document code AT)~~	~~CSSF code of the fund~~ ~~Document name~~
CBDF035	The document language does not match one of the expected ISO codes	CSSF code of the fund Document name
CBDF036	The indexation level and the type of document are not compatible	CSSF code of the fund Document name
CBDF037	The document is not permitted for the specified fund and the specified notification type	CSSF code of the fund Document name
CBDF038	The indexation of the document does not match one of the selected subfunds	CSSF code of the fund Document name
CBDF039	The indexation of the document does not match one of the selected share classes	CSSF code of the fund Document name

CBDF040	The main document (annex number 0000) does not exist for the document	CSSF code of the fund Document name
CBDF041	At least two documents differ only by their reference date	CSSF code of the fund
CBDF042	The document is invalid	CSSF code of the fund Document name
CBDF043	Document notification letter is mandatory (see part 4 hereafter)	CSSF code of the fund
~~**CBDF044**~~	~~Document CSSF attestation in EN, FR or DE is mandatory (see part 4 hereafter)~~	~~CSSF code of the fund~~
CBDF045	Articles of incorporation or management regulations document is mandatory (see part 4 hereafter)	CSSF code of the fund
CBDF046	Confirmation of payment document is mandatory (see part 4 hereafter)	CSSF code of the fund
CBDF047	Key Investor Document is mandatory for the share class (see part 4 hereafter)	CSSF code of the fund CSSF code of the subfund CSSF code of the share class
CBDF048	Prospectus document signed by the CSSF in EN, FR or DE is mandatory (see part 4 hereafter)	CSSF code of the fund
CBDF049	Annual report is mandatory as the specified fund is older than 22 months (see part 4 hereafter)	CSSF code of the fund

CBDF050	Annual report or semi-annual report is mandatory as the specified fund is older than 14 months (see part 4 hereafter)	CSSF code of the fund
CBDF051	A semi-annual report is mandatory as the annual report is older than 8 months (see part 4 hereafter)	CSSF code of the fund
CBDF052	Key Investor Document cannot be older than 12 months	CSSF code of the fund Document name
CBDF053	The annual report cannot be older than 16 months	CSSF code of the fund Document name
CBDF054	Only one notification letter can be present in the archive	CSSF code of the fund
CBDF055	The date of the document does not match the date of the last document registered at the CSSF (<Reference date>)	CSSF code of the fund Document name
CBDF056	The document has to be signed by the CSSF	CSSF code of the fund Document name
CBDF057	The Prospectus is not the last version signed by the CSSF	CSSF code of the fund Document name
CBDF058	Due to the condition <fieldname:value>, the field <fieldname> must not be provided	CSSF code of the fund CSSF code of the subfund (if applicable)

CBDF000	The notification has been successfully processed and is available on eDesk for CSSF validation (specific to SUBMITTED status)	CSSF code of the fund
CBDF100	The notification has been accepted by the CSSF and transmitted to the corresponding HOST(s) (specific to ACCEPTED status)	CSSF code of the fund
CBDF101	The notification has been rejected by the CSSF for the reason specified above	CSSF code of the fund Rejection reason
CBDF102	The notification has been accepted by the HOST (specific to ACCEPTED_HOST status)	CSSF code of the fund Host country
CBDF103	The notification has been rejected by the HOST for the reason specified above (specific to REJECT_HOST status)	CSSF code of the fund Host country Rejection reason

4. Required documents

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

Notification Type	LN		PC		MR		AI		AR		SR		CP		MP		KI		DI		MT		OT	
	Notification letter		Prospectus		Management Regulations		Articles of incorporation		Annual report		Semi-annual report		Confirmation of payment		Marketing arrangements		Key Investor Information Document		Disclosure to investors Art. 23(1)		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
AIF Pre-Marketing	M	Fund (if existing) or AIFM	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-			O	AIFM	O	Fund (if existing) or AIFM
AIF Marketing - Initial	M	Funds	O	Funds or sub-funds	M	Funds	M	Funds	O	Funds	O	Funds	Note 1	Funds or sub-funds	O	Funds or sub-funds	O	Funds or sub-funds or share class	M	Funds	O	AIFM	O	Funds or sub-funds
AIF Marketing - Update	O	Funds	O	Funds or sub-funds	O	Funds	O	Funds	O	Funds	O	Funds	O	Funds or sub-funds	O	Funds or sub-funds	O	Funds or sub-funds or share class	O	Funds	O	AIFM	O	Funds or sub-funds
AIF De-notification	M	Funds	O	Funds or sub-funds	O	Funds	O	Funds	O	Funds	O	Funds	O	Funds or sub-funds	O	Funds or sub-funds	O	Funds or sub-funds or share class	O	Funds	O	AIFM	O	Funds or sub-funds
ELTIF Marketing - Initial	M	Funds	O	Funds or sub-funds	M	Funds	M	Funds	O	Funds	O	Funds	Note 1	Funds or sub-funds	O	Funds or sub-funds	O	Funds or sub-funds or share class	M	Funds	O	AIFM	O	Funds or sub-funds
ELTIF Marketing - Update	O	Funds	O	Funds or sub-funds	O	Funds	O	Funds	O	Funds	O	Funds	O	Funds or sub-funds	O	Funds or sub-funds	O	Funds or sub-funds or share class	O	Funds	O	AIFM	O	Funds or sub-funds
ELTIF De-notification	M	Funds	O	Funds or sub-funds	O	Funds	O	Funds	O	Funds	O	Funds	O	Funds or sub-funds	O	Funds or sub-funds	O	Funds or sub-funds or share class	O	Funds	O	AIFM	O	Funds or sub-funds
EUSEF Pre-Marketing	M	Fund (if existing) or AIFM	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	O	Fund (if existing) or AIFM
EUSEF Marketing - Initial	M	Funds	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	O	Funds or sub-funds
EUSEF Marketing - Update	M	Funds	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	O	Funds or sub-funds
EUSEF De-notification	M	Funds	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	O	Funds or sub-funds
EUVECA Pre-Marketing	M	Fund (if existing) or AIFM	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	O	Fund (if existing) or AIFM
EUVECA Marketing - Initial	M	Funds	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	O	Funds or sub-funds
EUVECA Marketing - Update	M	Funds	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	O	Funds or sub-funds
EUVECA De-notification	M	Funds	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	F	-	O	Funds or sub-funds

M : Mandatory
F : Forbidden
O : Optionnal

Note 1 *The document type is only mandatory for some countries (Germany, France, Austria, Liechtenstein, Malta, Slovenia).*

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

Notification Type	LN		PC		MR		AI		AR		SR		CP		MP		KI		DI		MT		OT	
	Notification letter		Prospectus		Management Regulations		Articles of incorporation		Annual report		Semi-annual report		Confirmation of payment		Marketing arrangements		Key Investor Information Document		Disclosure to investors Art. 23(1)		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
UCITS Marketing - Initial	M	Funds	M	Funds	M	Funds	M	Funds	M	Funds	M	Funds	Note 1	Funds or sub-funds	O	Funds or sub-funds	M	Share classes	F		O	Funds	O	Funds
UCITS De-notification	M	Funds	O	Funds	O	Funds	O	Funds	O	Funds	O	Funds	O	Funds or sub-funds	O	Funds or sub-funds	O	Share classes	F	-	O	Funds	O	Funds

M : Mandatory
F : Forbidden
O : Optionnal

Note 1 *The document type is only mandatory for some countries (Germany, France, Austria, Liechtenstein, Malta, Slovenia, Greece, Cyprus).*

Commission de Surveillance du Secteur Financier
283, route d'Arlon
L-2991 Luxembourg (+352) 26 25 1-1
direction@cssf.lu
www.cssf.lu