



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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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 procedures concerned, the expected documentation, and information regarding the submission via eDesk.

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

2. Scope

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

- a. 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;
- b. 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;
- c. 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.

For the avoidance of doubt, the AIFMs mentioned under point a. and b. 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 Articles 29, 29-1, 30 and 30-1 of the AIFM Law respectively.

3. Documentation of the notification or de-notification submission

The notification file submitted to the CSSF shall¹ 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. |
| CSSF attestation letter | AT | The latest CSSF attestation which was delivered by the CSSF to the fund manager has to be attached. |
| 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 have to be annexed to the file as a single document. |

¹ Annex 3 provides the detailed list of documents to be submitted depending on the chosen options as well as the expected indexation

| | | |
|---|----|---|
| Confirmation of payment | CP | This document should only be annexed to the file for marketing applications in host Member States which require confirmation of the payment of additional fees which are levied by the host Member State. |
| Mandate | MT | This document should only to 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 has to be the latest visa-stamped prospectus by the CSSF or the latest version of the prospectus if available. |
| Key Investor 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. |

| Type of document | Abbreviation | Specifications |
|------------------|--------------|-------------------------------|
| 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.

4. Submission of the application to the CSSF

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

4.1 Connection to the tool

Access to the tool is made 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>).

4.2 Home view

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

Notification dashboard

| Identifier | Notification type | Marketing target | Fund ID | Fund name | Host country | Status | Creation date | Created by | Submission date | AIFM ID | Comments | Actions |
|------------------|---------------------|------------------|---------|-----------|-------------------|-----------------------|--------------------|------------|--------------------|---------|------------------|---------|
| CBDF220614011720 | Marketing - Initial | AIF | | | CY,HR,BE | Accepted by CSSF | 14/06/2022 - 15:17 | | 14/06/2022 - 15:36 | | | |
| CBDF220610071535 | De-notification | EUSEF | | | AT | Initialisation | 10/06/2022 - 09:15 | | - | | | |
| CBDF220610065325 | Marketing - Update | AIF | | | AT | Under analysis - CSSF | 10/06/2022 - 08:53 | | 10/06/2022 - 14:43 | | | |
| CBDF220610065153 | Marketing - Initial | AIF | | | BG,BE | Initialisation | 10/06/2022 - 08:51 | | - | | | |
| CBDF220530120442 | Marketing - Update | AIF | | | | Initialisation | 30/05/2022 - 14:04 | | - | | | |
| CBDF220510090013 | Marketing - Initial | AIF | | | FI,GI,DE,FR,BE | Initialisation | 30/05/2022 - 11:00 | | - | | | |
| CBDF220510090000 | Marketing - Initial | AIF | | | DK,GR,PL,BE,FR | Initialisation | 30/05/2022 - 11:00 | | - | | | |
| CBDF220519072221 | Marketing - Initial | AIF | | | FR,BE,CZ,DK,CY,EE | Under analysis - CSSF | 19/05/2022 - 09:22 | | - | | To be replicated | |
| CBDF220517010531 | Marketing - Initial | AIF + ELTIF | | | HR,BE,DK | Submitted | 17/05/2022 - 15:05 | | - | | | |
| CBDF220516085343 | Marketing - Update | AIF | | | CX,FI,CZ,DE,BE | Rejected by CSSF | 16/05/2022 - 10:53 | | - | | | |

4.2.1 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.

4.2.2 Notification dashboard

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

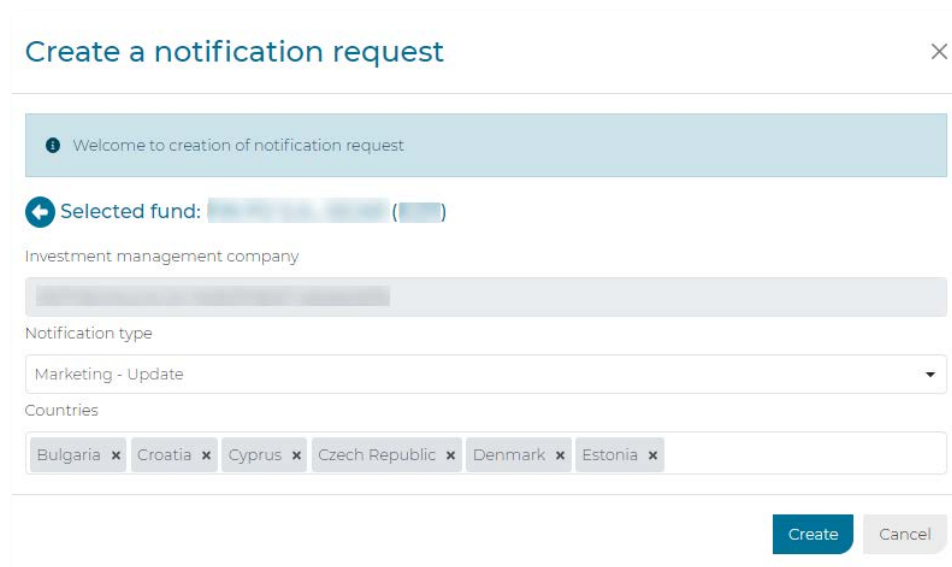
The following columns are provided:

- Identifier
- Notification type (Marketing – Initial, Marketing – Update, De-notification)
- Marketing target (AIF, AIF + ELTIF, ELTIF, EuVECA, EuSEF)
- 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 icon or double-click on a given line).

4.3 Creation of a notification request

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

- select the fund category (AIF, AIF/ELTIF, AIF/EuSEF, AIF EuVECA)
- select an entity (search by filtering the list and double-click on the relevant line)
- select the notification type (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))
- select the relevant Member states (multiples choices allowed in the list of countries)
- click on the “Create” button



The screenshot shows a pop-up window titled "Create a notification request" with a close button (X) in the top right corner. The window contains the following elements:

- A light blue header bar with an information icon and the text "Welcome to creation of notification request".
- A "Selected fund:" label with a plus icon and a dropdown menu showing "EUROPEAN SOCIAL ENTREPRENEURSHIP FUNDS ()".
- An "Investment management company" label with a text input field.
- A "Notification type" label with a dropdown menu showing "Marketing - Update".
- A "Countries" label with a multi-select input field containing "Bulgaria x", "Croatia x", "Cyprus x", "Czech Republic x", "Denmark x", and "Estonia x".
- At the bottom right, there are two buttons: "Create" (in blue) and "Cancel" (in grey).

4.4 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 that on the home screen of the application (see point 4.2.1 above).

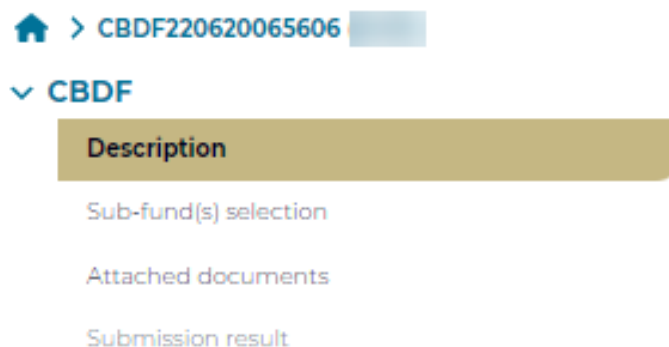
Navigation menu

Section content

Request summary

4.4.1 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 colored in light brown indicates the section you are in.

4.4.1.1 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.

4.4.1.2 Sub-fund(s) selection

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

Instrument selection

Please select the concerned sub-funds

Total items: 5 Refresh Clear filters X

| Selected | Name | CSSF code |
|--------------------------|------|-----------|
| <input type="checkbox"/> | | 1 |
| <input type="checkbox"/> | | 3 |
| <input type="checkbox"/> | | 4 |
| <input type="checkbox"/> | | 5 |
| <input type="checkbox"/> | | 6 |
| | | |
| | | |
| | | |
| | | |

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Checking a tick box will add the intended fund/sub-fund to the selection.

4.4.1.3 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
 - o  Delete: To delete a provided document.
 - o  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.
 - o  Download: To download the document to your device.

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

The screenshot shows a modal window titled "Add a document" with a close button (X) in the top right corner. Below the title bar is a light blue bar with a document icon and the text "Upload document". A "Select file" button is positioned below this bar. The form contains several input fields, each with a label and a value:

- Document name: DOCREP-000001013-00000000-0000-2022-05-14-LN-EN-0000.pdf
- Document type: LN
- Entity/Instrument: 000001013-00000000-0000
- Reference date: 2022-05-14
- Language: EN
- Annex number: 0000
- File extension: pdf

At the bottom right of the form are two buttons: "Close" and "Save".

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 has to be respected when naming the documents. In case of a naming error, the following error message will be displayed:

The upload and feedback of the documents may take additional time depending on the file size.



4.4.1.4 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

CSSF comments

In this tab, you consult and answer the possible comments received from the CSSF. You will receive a notification email each time you receive new comments in eDesk.

More details

- the exchange of comments with the CSSF is made through a list of topics,
- each topic received from the CSSF has the “To be replied” status and is composed of a position (identifier), a short descriptive and the comment itself,
- to answer a comment, the request must be in “Draft” mode. Please go into the detailed view of the topic concerned, click on “Add a response”, and then add and save your answer (status “Replied and to be sent”). As the case may be, update your request accordingly (new attached documents, new version of an existing attached document,...),
- you may decide to send your answers to the CSSF for all the topics that are in the status “Replied and to be sent”, by ticking the checkbox “Select all topics to be sent”; OR to tick one by one in the “Actions column” the topics for which you want to send your answer. The selected answers will be sent to the CSSF at the time of submitting the new version of the request (status of the topics concerned will move to “Replied and sent”),
- as the case may be, it is possible that you receive a new comment on a topic for which you already sent an answer (status “To be replied” again).

Total items: 2 Refresh Clear filters X

| Topic | Status | Last reception date | Last transmission date | Agent | Actions |
|----------------|---------------|---------------------|------------------------|-------------------|---------|
| | Show all | | | | |
| Test - Topic 2 | To be replied | 07/06/2022 - 15:34 | - | cbdf User OPC OPS | |
| Test - Topic 1 | To be replied | 07/06/2022 - 15:34 | - | cbdf User OPC OPS | |

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To reply to the comments, the request must be in **draft** mode (see point 4.4.4 below):

➤ In order to reply to a CSSF Comment: Access the detailed view of the respective topic, 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 cddf User-OPC OPS

test

➤ Then press "Save":

Comments > Test - Topic 1

Topic details

Subject Test - Topic 1

Status **To be replied**

Exchange of comments

Save ✓ Cancel ✕

my response

Sent on 10/06/2022 - 08:55 by cddf User OPC OPS

test

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.

Submission result

 Your request submission has been rejected.

 Please find below a list of elements you still have to complete or modify in order to submit your demand (generation date 20/06/2022 - 13:39)

Validation errors Total items: 1 [Refresh](#) [Clear filters](#)

| Error code | Error Description |
|---------------------------------------|--|
| <input type="text" value="Show all"/> | |
| CBDF016 | All topics in the CSSF comments tab must be 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

4.4.1.5 Host follow-up

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

The follow-up of transmissions is accessible through the "Host follow-up" section:

Back to Dashboard

CBD Notification request

CBDF220610071535

CBDF

- Description
- Sub-fund(s) selection
- Attached documents
- CSSF comments
- HOST Follow-up**
- Submission result

HOST Follow-up Total items: 1 Refresh Clear filters x

| Country | Status | Last modification date | Request version |
|---------------------------------------|--|------------------------|-----------------|
| <input type="text" value="Show all"/> | <input type="text" value="Show all"/> | | |
| Austria | ACCEPTED BY CSSF - Transmitted to HOST | 16/06/2022 | 2 |

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Refresh Submit Cancel Draft

Statement Summary

| | |
|--|--|
| Notification type De-notification | Marketing target EUSEF |
| Selected Fund | IFM |
| Identifier CBDF220610071535 | Host country AT |
| Creation date 10/06/2022 - 09:15 | Status Accepted by CSSF (Sent to host) |
| Version 2 | Version status Submitted |
| Submission date 16/06/2022 - 13:51 | Validation Status Accepted |
| Agent in charge | |

Information on the applicant

Applicant

| | |
|--------------|---------|
| Phone number | Email |
| Position | Company |

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

4.4.1.6 *Submission result*

See point 5 on notification file processing.

4.4.2 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.

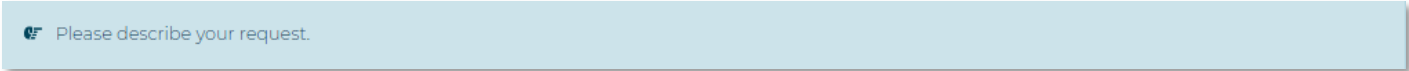
Please note that:


(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
- In some cases, a click is required to expand the guideline information.



 Please describe your request.

4.4.3 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

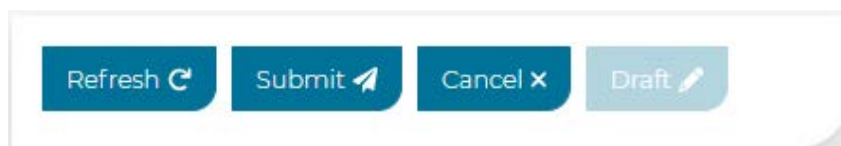
| | |
|---|---|
| <p>Notification type Marketing - Initial</p> <p>Selected Fund [REDACTED]</p> <p>Identifier CBDF220620065606</p> <p>Creation date 20/06/2022 - 08:56</p> <p>Version 1</p> <p>Submission date -</p> <p>Agent in charge -</p> | <p>Marketing target AIF</p> <p>IFM [REDACTED]</p> <p>Host country DK,HR</p> <p>Status Initialisation</p> <p>Version status Draft</p> <p>Validation Status -</p> |
|---|---|

Information on the applicant

| | |
|---|---|
| <p>Applicant [REDACTED]</p> <p>Phone number [REDACTED]</p> <p>Position -</p> | <p>Email [REDACTED]</p> <p>Company [REDACTED]</p> |
|---|---|

4.4.4 Actions 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

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 file may be subject to is available in Annex 3.

Should any errors be detected when submitting the notification, the "Submission result" section allows you to consult them:

The screenshot shows the 'Submission result' section of the CBDF notification request interface. The main content area displays a message: "Your request submission has been rejected" and a list of "Validation errors". The "Validation errors" table is as follows:

| Error code | Error Description |
|------------|--|
| CBDP006 | At least one sub-fund should be selected in the Sub-fund(s) selection section. |
| CBDP010 | Document notification letter is mandatory to submit your request. Please add it to your request in the "Attached documents" section. |

The "Statement Summary" section on the right provides details about the notification, including:

- Notification type: De-notification
- Marketing target: EUSEF
- Selected Fund: IFM
- Identifier: CBDF220610071535
- Host country: AT
- Creation date: 10/06/2022 - 09:15
- Status: Initialisation
- Version: 1
- Version status: Draft
- Submission date: -
- Validation Status: Error
- Agent in charge: -

The "Information on the applicant" section on the right provides details about the applicant, including:

- Applicant: -
- Phone number: -
- Email: -
- Position: -
- Company: -

Should the CSSF notice during the formal checks upon receipt that the file is incomplete or does not comply with the specified technical requirements, the applicant is informed by the same communication channel as the one used to submit the notification file to the CSSF of the reason(s) preventing the file from being transmitted to the corresponding competent authorities. In this case, the applicant has to transmit a new amended notification file which takes into account the CSSF feedback that was initially provided on the first submission of the notification file.

In the case that 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 same communication channel as the one used to submit the notification file to the CSSF. In this case, the applicant has to transmit a new amended notification file.

Annexes: 4

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 pre-marketing by EU AIFMs | https://www.cssf.lu/en/Document/notification-letter-for-pre-marketing-by-eu-aifms/ |
| 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 in Member States and/or home Member State of the AIFM established in Luxembourg (Article 31/32 of the AIFMD) – 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 established in Luxembourg (Article 31/32 of the 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/ |

A notification package must contain the PDF notification letter or alternatively a de-notification 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 observe 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) | <ul style="list-style-type: none"> • <i>DOC</i> for « Unstructured documents » |
| DIR | Direction | Char(3) | <ul style="list-style-type: none"> • <i>REP</i> for Report: file sent to the CSSF <p>This applies to all document types except the CSSF certificate (document code AT).</p> <ul style="list-style-type: none"> • <i>FDB</i> for Feedback: file generated by the CSSF <p>This applies only to prospectus (document code PC) and CSSF attestation (document code AT).</p> |
| E | Entity type | Char(1) | <ul style="list-style-type: none"> • <i>A</i> for a document regarding an AIFM • <i>O, K</i> or <i>V</i> for a document regarding an investment fund |
| NNNNNNNN | Identifier of the entity | Number(8) | <ul style="list-style-type: none"> • <i>00000001...99999999</i> (Enter the CSSF entity identifier and fill out the remaining character spaces with "0".) |
| CCCCCCCC | Identifier of the sub-fund | Number(8) | <ul style="list-style-type: none"> • <i>00000001...99999999</i> for an entity with multiple compartments • <i>00000000</i> for an entity without compartment • <i>00000000</i> is also to be used where the document covers more than one sub-fund |
| PPPP | Share type | Number(4) | <ul style="list-style-type: none"> • <i>0001...9999</i> for an entity with multiple compartments and shares • <i>0000</i> is to be used where the document covers more than one share |
| YYYY | Year | Number(4) | <ul style="list-style-type: none"> • <i>Year</i> |
| MM | Month | Number(2) | <ul style="list-style-type: none"> • <i>Month</i> |

| | | | | |
|-----------|-------------------|-----------|---|---|
| DD | Day | Number(2) | <ul style="list-style-type: none"> • <i>Day</i> (YYYYMMDD: this refers to the reference date of the document and not the sending date) | |
| DO | Document type | Char(2) | <ul style="list-style-type: none"> • <i>LN</i> - Notification letter • <i>PC</i> - Prospectus • <i>AT</i> - CSSF attestation letter • <i>MR</i> - Management regulations • <i>AI</i> - Articles of incorporation • <i>AR</i> – Annual report • <i>SR</i> – Semi-annual report • <i>CP</i> - Confirmation of payment • <i>MP</i> - Marketing arrangements • <i>KI</i> – Key investor information document • <i>DI</i> - Disclosure to investors Art. 23(1) • <i>MT</i> - Mandate • <i>OT</i> - Others | |
| LL | Document language | Char(2) | Language code ISO 639-1 <ul style="list-style-type: none"> • <i>FR</i> (French) • <i>DE</i> (German) • <i>EN</i> (English) • <i>NL</i> (Dutch) • <i>BG</i> (Bulgarian) • <i>HR</i> (Croatian) • <i>EL</i> (Greek) • <i>CS</i> (Czech) • <i>DA</i> (Danish) • <i>ET</i> (Estonian) • <i>FI</i> (Finnish) • <i>HU</i> (Hungarian) | <ul style="list-style-type: none"> • <i>GA</i> (Irish) • <i>IT</i> (Italian) • <i>LV</i> (Latvian) • <i>LT</i> (Lithuanian) • <i>MT</i> (Maltese) • <i>NB</i> (Norwegian Bokmål) • <i>PL</i> (Polish) • <i>PT</i> (Portuguese) • <i>RO</i> (Romanian) • <i>SK</i> (Slovak) • <i>SL</i> (Slovenian) • <i>ES</i> (Spanish) • <i>SV</i> (Swedish) |

| | | | |
|-------------|--------------|-----------|--|
| | | | <ul style="list-style-type: none"> • <i>IS</i> (Icelandic) |
| IIII | Annex number | Number(4) | <ul style="list-style-type: none"> • <i>0000</i> for the main document • <i>0001</i> and following: for annexes to the main document and track changes versions of documents |
| .ext | Extension | Char(5) | <ul style="list-style-type: none"> • <i>.pdf</i> (PDF) |

Example :

- DOCREP-000000001-00000000-0000-2021-12-31-AR-DE-0000.pdf

Annual report in German for UCI No. 1 with the reference date "31 December 2021"

- DOCFDB-A00000001-00000000-0000-2021-12-31-AT-FR-0000.pdf

CSSF attestation in French for AIFM No. 1 with the reference date "31 December 2021", signed and stamped (thus sent to the UCI) by the CSSF

Annex 3: CSSF formal verification rules

Table of CSSF formal verification rules applied to initial notification, update and de-notifications.

1. Rules when uploading a document

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 20MB.
- 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 Annex 3 hereafter)
- i. The document is not permitted for the type and object of the notification (see Annex 3 hereafter)

2. Rules on submission (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 | Mandatory elements of the <i>Description</i> tab have not been filled in |
| CBDF002 | Where applicable, the indexation of a document does not match one of the sub-funds selected in the <i>Sub-fund(s)</i> selection tab |
| CBDF003 | The main document does not exist when adding an annex other than '0000' |
| CBDF004 | Two documents have identical file names |
| CBDF005 | Two documents only differ by their reference date |
| CBDF006 | No sub-funds have been selected in the <i>Sub-fund(s)</i> selection tab |
| 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 |
| CBDF009 | An invalid document has been uploaded |
| CBDF010 | The document <i>Notification letter</i> (code LN) is missing if mandatory (see table hereafter) |
| CBDF011 | The document <i>Attestation CSSF</i> (code AT) is missing if mandatory (see table hereafter) |
| CBDF012 | At least one of the two constituent documents <i>Articles of incorporation</i> (code AI) or <i>Management regulations</i> (code MR) is missing if mandatory (see table hereafter) |
| CBDF013 | The document <i>Disclosure to investors Art. 23(1)</i> (code DI) is missing if mandatory (see table hereafter) |
| CBDF014 | The document <i>Confirmation payment</i> (code PC) is missing if mandatory (see table hereafter) |
| CBDF015 | At least one document is still uploading |
| CBDF016 | All topic in the CSSF comments tab must be replied |

3. Required documents

The following table provides the list of documents to be submitted depending on the chosen options as well as the expected indexation:

| Notification Type | LN | | PC | | AT | | MR | | AI | | AR | | SR | | CP | | MP | | KI | | DI | | MT | | OT | |
|----------------------------|---------------------|------------------|------------|------------------|-------------------------|------------------|------------------------|------------------|---------------------------|------------------|---------------|------------------|--------------------|------------------|-------------------------|--------------------|------------------------|--------------------|-----------------------------------|--------------------|------------------------------------|------------------|------------|------------------|------------|------------------|
| | Notification letter | | Prospectus | | CSSF attestation letter | | 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 | To be sent | Indexation level |
| AIF Marketing - Initial | M | Funds | O | Funds | M | AIFM | M | Funds | M | Funds | O | Funds | O | Funds | Note 1 | Funds or sub-funds | O | Funds or sub-funds | O | Funds or sub-funds | M | Funds | O | AIFM | O | Funds |
| AIF Marketing - Update | O | Funds | O | Funds | O | AIFM | O | Funds | O | Funds | O | Funds | O | Funds | O | Funds or sub-funds | O | Funds or sub-funds | O | Funds or sub-funds | O | Funds | O | AIFM | O | Funds |
| AIF De-notification | M | Funds | O | Funds | O | AIFM | O | Funds | O | Funds | O | Funds | O | Funds | O | Funds or sub-funds | O | Funds or sub-funds | O | Funds or sub-funds | O | Funds | O | AIFM | O | Funds |
| ELTIF Marketing - Initial | M | Funds | O | Funds | M | AIFM | M | Funds | M | Funds | O | Funds | O | Funds | Note 1 | Funds or sub-funds | O | Funds or sub-funds | O | Funds or sub-funds | M | Funds | O | AIFM | O | Funds |
| ELTIF Marketing - Update | O | Funds | O | Funds | O | AIFM | O | Funds | O | Funds | O | Funds | O | Funds | O | Funds or sub-funds | O | Funds or sub-funds | O | Funds or sub-funds | O | Funds | O | AIFM | O | Funds |
| ELTIF De-notification | M | Funds | O | Funds | O | AIFM | O | Funds | O | Funds | O | Funds | O | Funds | O | Funds or sub-funds | O | Funds or sub-funds | O | Funds or sub-funds | O | Funds | O | AIFM | O | Funds |
| EUSEF Marketing - Initial | M | Funds | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | O | Funds |
| EUSEF Marketing - Update | M | Funds | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | O | Funds |
| EUVECA Marketing - Initial | M | Funds | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | O | Funds |
| EUVECA Marketing - Update | M | Funds | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | F | - | O | Funds |

M : Mandatory
F : Forbidden
O : Optional

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



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