

I. Documents relating to the authorisation

Document type	Nomenclature	Format	Entity concerned	Reference
Prospectus and offering document	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- PC -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law	Article 155(1) of the 2010 Law Article 56 of the 2007 Law
Document containing key information for investors (KIID) ¹	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- KI -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law SICAR	Article 159(1) of the 2010 Law Regulation (EU) No 1286/2014 and 2017/653
Management Regulation	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- MR -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law	UCI 2010 Law UCI 2007 Law
Articles of incorporation	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- AI -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law	UCI 2010 Law UCI 2007 Law

II. Documents relating to supervision

Document type	Nomenclature	Format	Entity concerned	Reference
Annual report	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- AR -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law SICAR IFM	Article 155(1) of the 2010 Law Article 56 of the 2007 Law Article 27(3) of the SICAR Law Article 104(4) of the 2010 Law Article 7a(4) of the 2013 Law
Semi-annual report	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- SR -LL-0000.pdf	PDF-Text	UCI 2010 Law	Article 155(1) of the 2010 Law
UCI long form report	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- LF -LL-0000.pdf	PDF-Text	UCI 2010 Law	Circular CSSF 02/81
Management letter	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- ML -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law SICAR IFM	Article 154(3) of the 2010 Law Article 55(3) of the 2007 Law Article 27(3) of the SICAR Law Article 104(4) of the 2010 Law Article 7a(4) of the 2013 Law
UCI report other periodicity (winding-up report, liquidation report, report up to merger, merger report)	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- RO -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law SICAR IFM	Article 155(1) of the 2010 Law Article 56 of the 2007 Law Article 27(3) of the SICAR Law Article 104(4) of the 2010 Law Article 7a(4) of the 2013 Law
Other UCI auditor report (redemption in kind, contribution in kind, etc.)	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- RR -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law SICAR IFM	
Report on agreed-upon procedures to meet Hong Kong Securities and Futures Commission (SFC) requirements	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- HK -LL-0000.pdf	PDF-Text	UCI 2010 Law	Memorandum of Understanding signed with the SFC
Report on the permanent risk management function	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- GR -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 11/512, as amended by Circular CSSF 18/698
Report containing information giving a true picture of the types of financial derivative instruments used for each managed UCITS, the underlying risks, the quantitative limits and the methods chosen for assessing the risks associated with financial derivative instrument transactions	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- ID -LL-0000.pdf	PDF-Text	SIAG Part I 2010 Law IFM Chapter 15 2010 Law	Circular CSSF 18/698
Report on compliance function	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- FC -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Report on internal audit function	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- IA -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Report of the compliance officer (Responsable du Contrôle (RC)) in charge of controlling compliance with the professional AML/CFT obligations	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- BC -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law SICAR IFM	Article 42(7) of CSSF Regulation 12-02
Complaint handling: a table including the number of complaints registered by the professional, classified by type of complaints, as well as a summary report of the complaints and of the measures taken to handle them	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- TP -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
List of third parties authorised to handle complaints	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- LP -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Risk management procedure	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- PG -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 11/512, as amended by Circular CSSF 18/698
Risk management procedure (AIFM)	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- PN -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Group organisation chart (in case of changes)	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- OG -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Summary table of the mandates of the members of the management body/governing body and the executives, and, where appropriate, members of the supervisory board	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- TM -LL-0000.xls DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- TL -LL-0000.xlsx	Excel	IFM	Circular CSSF 18/698
Annual report of all the IFM delegates, including the intermediaries in charge of marketing with which the IFM has a direct relation	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- RD -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Branch activity report	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- AS -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Final calculation of the capital ratio for IFMs authorised for discretionary management	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- FP -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Minutes of the meetings of the governing body (board of directors or management board)	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- BD -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Minutes of the meetings of the conducting officers' meetings during the year and during which AML/CFT topics have been discussed	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- CO -LL-0000.pdf	PDF-Text	IFM	Circular CSSF 18/698
Proof that all employees of the IFM followed AML/CFT training	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- ET -LL-0000.pdf	PDF-Text	IFM	Article 8-2 of the Law of 12 November 2004 on the fight against money laundering and terrorist financing following the provision of Article 4(2) of that law

III. Other documents

Document type	Nomenclature	Format	Entity concerned	Reference
Explanation letter	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- LE -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law SICAR IFM	
Securities portfolios movements	DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD- PM -LL-0000.pdf	PDF-Text	UCI 2010 Law UCI 2007 Law SICAR	Joint Circular BCL 2014/237, CSSF 14/588

IV. Technical specificities

Reference	Designates
E	Entity type: -O for UCI 2010 Law and 2007 Law -K for SICAR -T for securitisation undertaking -S for management company -A for IFM (where the IFM is not a Luxembourg management company as well) -F for pension fund
NNNNNNN	Identification number of the entity (preceded by 0 if the number has fewer than 8 digits)
CCCCCCC	Identification number of the sub-fund (preceded by 0 if the number has fewer than 8 digits) Use 00000000 where not applicable or where more than one sub-fund or the whole UCI is concerned
PPPP	Identification number of the share class (preceded by 0 if the number has fewer than 4 digits) Use 0000 where not applicable or where more than one share class or the whole sub-fund or UCI is concerned
YYYY	Reference year of the document
MM	Reference month of the document
DD	Reference day of the document
LL	Code of the language in which the document is drawn up (Language code ISO 639-1, alpha-2)
0000	Corresponds to the basis document (constant)

Footnote

¹ Document containing key information for investors (KIID) DOCREP-ENNNNNNNN-CCCCCCC-PPPP-YYYY-MM-DD-**KI**-LL-0000.pdf
PPPP must never be 0000. The first part always has the number 0001.