



eRIIS User Guide - Access and Authentication



Commission de Surveillance
du Secteur Financier

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1. Introduction

eRIIS (**e**lectronic **R**eporting of **I**nformation concerning **I**ssuers of **S**ecurities) is a new portal that has been established by the CSSF to enable entities subject to the Transparency Law¹ and the Market Abuse Regulation² to fulfil their filing obligations. Two types of entities are concerned: (1) issuers of securities and (2) holders of securities (for notifications of major holdings and/or for notifications by Persons Discharging Managerial Responsibilities within an issuer).

This “**Access & Authentication**” User Guide describes how to create an account before accessing the eRIIS portal. How to manage the rights associated with an account is discussed in a separate document (“**Roles & Rights Management**”). Finally, a third User Guide (“**Filing of information**”) presents the eRIIS portal per se in general terms and provides a few tips concerning its use.

Please be aware that as from 4 March 2022 the CSSF requires all submissions of information under the Transparency Law and the Market Abuse Regulation to be carried out through eRIIS³. Should you experience difficulties in creating an account or in case of delays incompatible with filing deadline legal requirements, please contact the CSSF via eriis.support@cssf.lu.

The eRIIS portal is accessed here: <https://eriis.apps.cssf.lu/>

2. User Accounts

A User Account is needed to access the eRIIS portal. In case you do not currently possess such an account, you will need to create one, as described below (cf. User Account creation). In case you do already have a User account, please sign into your account with your credentials⁴ and go directly to point 3 below.

¹ Law of 11 January 2008 on transparency requirements for issuers.

² Regulation (EU) No 596/2014 of the European Parliament and of the Council of 16 April 2014 on market abuse.

³ All entities are encouraged to use eRIIS as soon as possible. Note however that filings per email will continue to be possible until 30 May 2022.

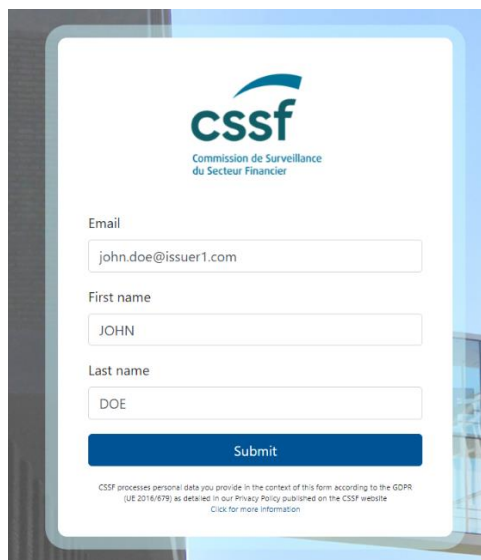
⁴ User Accounts utilised in the context of the e-Prospectus CSSF portal will be recognised by the eRIIS CSSF portal. A telephone number will need to be provided the first time these users connect to eRIIS.

2.1 User Account creation with LuxTrust

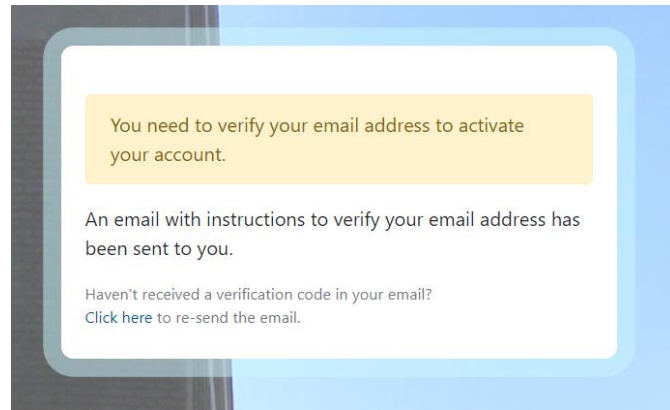


To create a new User Account, you first need to confirm your identity (for security reasons). This is done by clicking on the “Sign in with LuxTrust” button. You will be redirected to the LuxTrust authentication website. Please follow the instructions (either a certificate for individuals or for professionals can be used). Also refer to our FAQ Accounts and Certificates in that respect.

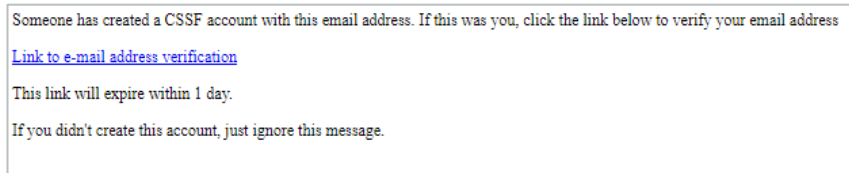
Once your identity is confirmed (i.e. with LuxTrust), you need to create your eRIIS User Account. Since you do not currently possess such an account, the following screenshot will appear (again, if you do already possess an eRIIS User Account, go directly to point 3 below).



Please enter your first name, last name, email address (**a professional email address must be used**) and phone number. Click on "Submit". An email containing a validation link will be sent to your email address (see screenshot below).



Click on the link in the email you have just received.



Your User account is now created/activated. You can navigate the eRIIS portal.

2.2 Alternative User Account creation

For security reasons, the authentication of users is based on LuxTrust certificates. Such certificate is needed before a User Account can be created. In exceptional circumstances and in case you are not able to obtain a LuxTrust certificate, please contact eRIIS.support@cssf.lu.

3. Reporting Entities

3.1 General information

If you possess an eRIIS account, such an account must necessarily be assigned to one or more Reporting Entities in order to be able to carry out filings on behalf of these Reporting Entities.

As mentioned in the introduction, Reporting Entities can proceed with filings in two capacities: (1) as issuers of securities and/or (2) as holders of securities. While for the latter the types of filings are the same for all Reporting Entities, the types of filings available for issuers of securities will depend on whether or not they are subject to the Transparency Law.

3.2 Creation of new Reporting Entities

New and non-existing Reporting Entities (other than issuers subject to the Transparency Law¹) need to be created in eRIIS and the initial assignment of a first User Account to the Reporting Entity concerned will need to be validated by the CSSF².

To **create** a new Reporting Entity, please click on “Create a new reporting entity” and follow the instructions.

To proceed with first filings following the creation of a new Reporting Entity, two cases need to be distinguished:

- In case of a filing in the capacity as a holder of securities, the newly created Reporting Entity will immediately be able to file “Managers’ transactions notifications” or “Major holding notifications” (i.e. without waiting for the CSSF validation).
- In case of a filing in the capacity as an issuer of securities, the validation by the CSSF of the Reporting Entity will be required before being able to proceed to filings for a Reporting Entity.

¹ Please refer to section 3.3.

² It is possible for one User Account to be linked to several reporting entities.

3.3 Creation of new Reporting Entities subject to the Transparency Law

For the specific case of Reporting Entities corresponding to issuers that fall within the scope of the Transparency Law¹, the creation of a new Reporting Entity (or as the case may be, the recognition of an existing Reporting Entity as an issuer subject to the Transparency Law) will be included in the normal CSSF supervisory process². Thus, as soon as such an entity falls under the scope of the Transparency Law and the CSSF becomes aware of it, the Reporting Entity will be created or assigned the necessary rights.

As a consequence such entities should not create a new Reporting Entity themselves (as detailed under point 3.2.).

3.4 Assignment of User Accounts to Reporting Entities

The first User Account which is assigned to a Reporting Entity must necessarily be an account validated by the CSSF and is assigned the role of SuperUser. Any additional assignments of User Accounts to Reporting Entities (or changes in that respect) can only be carried out by said SuperUser.

Please refer to the "Roles & Rights Management" User Guide for further information about the different types of roles an account may have and how the rights associated with these different roles are managed by the SuperUser³. How to access a validated account is also described there.

4. Access to eRIIS

Once your User Account is created, you can access the eRIIS portal. What you can do on the eRIIS portal will depend on the rights associated with your User Account for a specific Reporting Entity. How these rights are managed is the subject of the "**Roles & Rights Management**" User guide. Please refer to it for further information.

¹ I.e. issuers for which Luxembourg is the home Member State under the Transparency Directive.

² During this process, the account holder (i.e. the "SuperUser"; for further details concerning the role of "SuperUser", see the following §) will need to sign a mandate confirming he/she is legally entitled to act on behalf of the Reporting Entity, as a "SuperUser".

³ In case a User Account is linked to several Reporting Entities, it is possible for this account to assume different roles for different Reporting Entities.

The available functions will also depend on the type of Reporting Entity/-ies that are linked to your User Account. As a general rule however, please keep in mind that:

- Every active Reporting Entity will always and immediately have the possibility of filing the following type of information: "Notification for holders of securities" (i.e. either "Managers' transactions notifications" or "Major holding notifications"), which concerns **holders of securities**.
- Any other filing concerns Reporting Entities in their capacity as **issuers of securities**. Only those Reporting Entities recognised as such and with the necessary rights will be able to proceed with these types of filing.

5. Helpdesk

In case of questions or problems regarding the use of eRIIS, please contact :

eRIIS.support@cssf.lu



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