



# eRIIS User Guide - Filing of information



Commission de Surveillance  
du Secteur Financier

## eRIIS User Guide - Filing of information

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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 Law<sup>1</sup> and the Market Abuse Regulation<sup>2</sup> 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 of Persons Discharging Managerial Responsibilities within an issuer).

This “**Filing of information**” User Guide presents the eRIIS portal in general terms and provides a few tips concerning its use. You should already have successfully created a User Account to access the eRIIS portal and said account shall be assigned to a Reporting Entity, as explained in the “**Access & Authentication**” User Guide, and have clarified in which capacity you are acting (cf. the “**Roles & Rights Management**” User Guide).

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 eRIIS<sup>3</sup>. 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](mailto:eRIIS.support@cssf.lu).

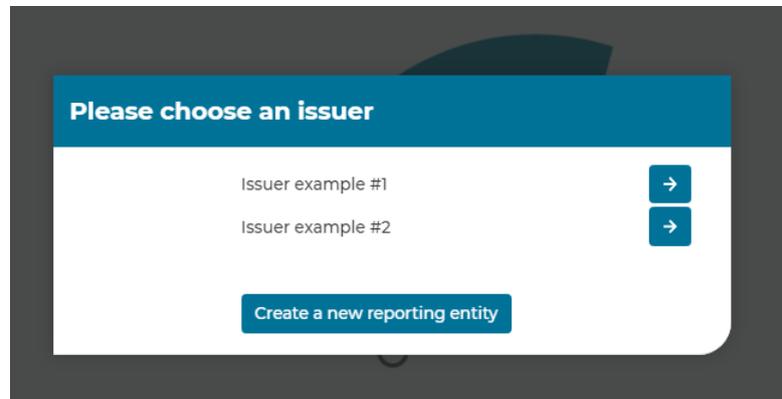
### 2. Choice of Reporting Entity

Successfully logging into the eRIIS portal with your User account should bring you to the following page:

<sup>1</sup> Law of 11 January 2008 on transparency requirements for issuers.

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

<sup>3</sup> 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.



In case your User Account is linked to several Reporting Entities, the names and CSSF codes of these different Reporting Entities should appear on your screen (note that if your User Account is linked to only one Reporting Entity, you will directly arrive on the screen corresponding to that Reporting Entity, as described under point 3 below). Please select the Reporting Entity on whose behalf you would like to file information with the CSSF and refer to point 3 below for further explanations.

There may be two reasons why a Reporting Entity for which you would like to file information with the CSSF does not appear on the list:

- the Reporting Entity has already been created but your User Account has not been assigned to that Reporting Entity and as such does not have the necessary rights for filing information on its behalf.
  - Contact the SuperUser of the Reporting Entity in order to get the necessary rights.
- the Reporting Entity has not yet been created.
  - Click on "Create a new reporting entity" and follow the instructions thereafter<sup>1</sup>.

### 3. Reporting Entity

Choosing a Reporting Entity should bring you to the following screen. The rationale for each of the main categories on this screen is successively presented below.

<sup>1</sup> A newly created reporting entity will automatically be allowed to file notifications for holders of securities. To be able to file any other type of information requires a validation by the CSSF. This may take up to a few hours.

Reporting entity information		Info	
CSSF code	912929394	Status	Completed
Name	Issuer example #2	Entity type	Legal Person
LEI code	2EULGUTUIS6J9 SAL165	Name of the reporting entity	Issuer example #2
		Legal form	Corp
		Constitution date	1972-12-05
		Postal address of the registered office	1, XYZ road
		Postal code and city of the registered office	19402030
		Country of the registered office	United States of America
		LEI	<input type="text"/>
		Telephone number	+1394940405
		E-mail	investor_relations@issuer2.com
		Official website	http://www.issuer2.com

### 3.1 Reporting Entity information

This section contains the main identifying information about the selected Reporting Entity. Please make sure that it corresponds to the Reporting Entity you would like to file information for. Should you wish to file information for another Reporting Entity, click on “Change”.

In case the information displayed is not up to date, we kindly ask you to inform us thereof (via the “Messages” function) in order to allow us to update the relevant information.

### 3.2 Create a new filing

The button “Create a new filing” allows you to proceed with the filing of the information in question. Please refer to point 4 (“Create a new filing”) below.

### 3.3 Menu – My space

The section “My space” offers a synthetic view of your exchanges with the CSSF. The kind of exchanges you can have with the CSSF depends on the role attached to your User Account.

#### 3.3.1 My info

Should any piece of information visualised on this screen be inaccurate or not up to date, please contact the CSSF. Depending on the role associated with your User Account, this can be done either by sending a message (cf. point 3.3.3 Messages below) or by getting in touch with the contact person whose contact details are found at the bottom of this screen.

### 3.3.2 Documents

This section offers a synthetic view of the formal exchanges between the CSSF and the Reporting Entity. These include CSSF official letters (e.g. letter of reminder or request for information) and formal letters sent to the CSSF regarding the Reporting Entity.

### 3.3.3 Messages

This section offers a synthetic view of the direct exchanges between the CSSF and the Reporting Entity (accessible to the SuperUser or any Depositor+). A Depositor does not have the necessary rights to be able to visualise or exchange messages with the CSSF.

For efficiency purposes, this section is dedicated to exchanges between the CSSF and the SuperUser (or any Depositor+) of a **general and non-specific** nature (i.e. not linked to any particular issue that may be raised regarding the filing). Listed past messages may be edited and deleted (where applicable).

To manage exchanges between the CSSF and the SuperUser (or any Depositor+) concerning **specific** issues about a particular filing, please first open the filing in question and access the "Comments" section. Doing so will ensure that these exchanges are more directly associated with the filing involved.

New comments can be generated by clicking on "Add". **Be careful:** the "Save" button will only save a draft version of a comment but will not send your comment to the CSSF. To actually send your comment to the CSSF requires clicking on the "Publish" icon. Before publishing a message to the CSSF, it can therefore be edited or deleted (by different users with the necessary access rights).

### 3.3.4 Delegation

This section will allow you to visualise (and, depending on your role, manage) the rights associated with different User Accounts. Be aware of the different types of roles and the differing rights attached to them. Please refer to the "**Roles & Rights Management**" User Guide for further explanations in that respect.

## 3.4 Menu – Filings

The "Filings" section offers a synthetic view of the information filed for Transparency or Market Abuse purposes. It also allows you to manage or complete past filings.

**Be careful:** the “Save” button allows you to save the data already provided but does not correspond to the “final click” for filing the information in question with the CSSF. To actually file information for Transparency or Market Abuse purposes with the CSSF requires clicking on the “Submit” icon<sup>1</sup>. Any draft data already saved can thus be edited or deleted before the information in question is officially filed with the CSSF. Any incomplete filing will prevent you from finalising your filing with the CSSF; the system will generate a list of the missing data.

Depending on its state of progress, a filing can have the following statuses:

- Draft: work in progress not visible by the CSSF. A filing remains draft status until it is submitted to the CSSF.
- In review: a filing that has been submitted will be reviewed by a CSSF agent.
- Rejected: an incorrect filing will be refused by the CSSF.
- Submitted: the status of any filing already submitted to the CSSF, regardless of any subsequent action or decision about it.
- Completed: a filing for which the CSSF does not have any comment<sup>2</sup>.
- Waiting for feedback: the CSSF sent a comment or a remark concerning the filing and the problem needs to be addressed.

## 4. Create a new filing

To initiate the filing process of information for Transparency or Market Abuse purposes with the CSSF, requires clicking on the “Create a new filing” button. Four major types of information can be filed with the CSSF:

- Ongoing information as required by the Transparency Law (for issuers)
- Periodic information as required by the Transparency Law (for issuers)

<sup>1</sup> The Save/Submit distinction also applies to documents’ filings.

<sup>2</sup> The status “Completed” only concerns the completion of the filing process and does not provide any information about its completeness, accuracy or compliance with legal requirements. Where and whenever appropriate or necessary, the CSSF may take any supervisory measures provided for by the relevant legislation regarding the filing.

- Information as required by the Market Abuse Regulation (for issuers)
- Notifications for holders of securities (i.e. the initial notifications to be provided in the capacity as a holder of the securities)

Please fill in the necessary information as required on each page. What information needs to be provided should be self-explanatory. Here again, **be careful**: the “Save” button allows you to save the data already provided but does not correspond to the “final click” for filing the information in question with the CSSF. To actually file information for Transparency or Market Abuse purposes with the CSSF requires clicking on the “Submit” icon.

## 5. Helpdesk

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

[eRIIS.support@cssf.lu](mailto:eRIIS.support@cssf.lu)



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