



eRIIS User Guide - Roles and Rights Management



Commission de Surveillance
du Secteur Financier

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1. Introduction

eRIIS 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 “**Roles & Rights Management**” User Guide describes how the access rights associated with an eRIIS-portal User Account are managed. You should already have successfully created a User Account to access the eRIIS portal, as explained in the “**Access & Authentication**” User Guide. Finally, a third User Guide (“**Filing of information**”) presents the eRIIS portal per se in general terms and provides guidance 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 a User Account or in case of delays incompatible with filing deadline legal requirements, please contact the CSSF via eRIIS.support@cssf.lu.

2. Reminder

Before you proceed with any filing on the eRIIS portal, you should first clarify the capacity in which you will be acting. As a general rule, 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”, which concerns notifications which are required to be filed by users in their capacity as or on behalf of **holders of securities** (i.e. either “Managers’ transactions notifications” or “Major holding notifications”).

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.

- Any other filing concerns Reporting Entities in their capacity or on behalf of **issuers of securities**. Only those Reporting Entities recognised as such and with the necessary rights will be able to proceed with this type of filing.

3. The different roles

Three different roles can be assumed by User Accounts assigned to Reporting Entities (i.e. issuers of securities or holders of securities):

(1) The role of **SuperUser**

As explained in the User Guide "Authentication & Access", only a User Account legally entitled to act on behalf of a Reporting Entity can be the first User Account linked with said Reporting Entity when this Reporting Entity is created in eRIIS. This User Account will also, after the necessary security verifications, be assigned the role of SuperUser by the CSSF.

A SuperUser status gives the User Account in question the largest set of rights possible to manage any filing of information concerning said Reporting Entity on the eRIIS portal¹. A User Account with a SuperUser status can thus fulfil the Reporting Entity's filing obligations by using the eRIIS portal. It can also assign other User Accounts to the Reporting Entity in question so that they may also be able to file information on the eRIIS portal for the account of the Reporting Entity. This represents a "**delegation**". There are two types of delegated roles.

(2) The role of **Depositor+**

A User Account granted the status of Depositor+ by the SuperUser will be able to file any type of information for the account of the Reporting Entity. A Depositor+ will also be able to communicate directly with the CSSF regarding its filings by being able to receive and respond to follow-up enquiries of the CSSF and by exchanging comments or remarks unrelated to specific filings.

¹ The types of information a SuperUser may be able to file is also a function of the Reporting Entity's status (e.g. whether or not the Reporting Entity falls under the scope of the Transparency Law).

(3) The role of **Depositor**

A User Account granted the status of Depositor by the SuperUser will be able to file any type of information for the account of the Reporting Entity. Besides the initial submission of a filing, a Depositor will not be able to update its filings however nor communicate directly with the CSSF regarding its filings and thus will not be able to send or receive comments or remarks in addition to the filings themselves.

This type of role is principally designed for users who are entitled to file information with the CSSF, but who should not access any other information exchanged between the CSSF and the relevant Reporting Entity (e.g. follow-up requests by the CSSF, correspondence of any kind exchanged between the Reporting Entity and the CSSF).

4. Helpdesk

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

eRIIS.support@cssf.lu



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