

CHAPTER XII

INTERNAL ORGANISATION OF THE CSSF



1. Functioning of the CSSF
2. Human resources
3. Information technology department
4. Staff members
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INTERNAL ORGANISATION OF THE CSSF

1. Functioning of the CSSF

The organisation of the administration and management of the CSSF is described in detail under the sub-section "Gouvernement et fonctionnement" (Corporate governance and functioning) on the CSSF website (www.cssf.lu, section "Qu'est-ce que la CSSF?").

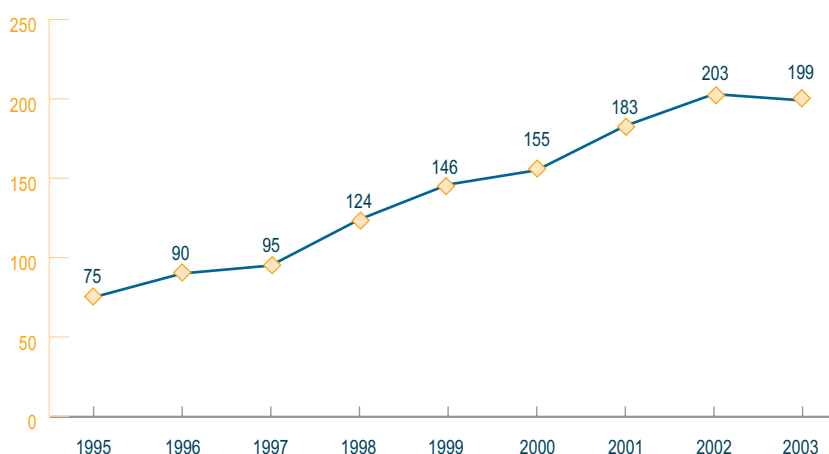
2. Human resources

While 2002 saw the recruitment of 24 agents, the year 2003 was marked by the final appointment of 43 agents in the *carrière supérieure*, 23 agents in the *carrière moyenne* and two *huissiers de salle* at the end of the training period. Thus, following the coming into force of the law of 9 November 2001 amending the law of 23 December 1998 creating a *commission de surveillance du secteur financier*, the CSSF integrated almost all the employees recruited since 1999 under the status equivalent to civil servants. The agents took specialised courses during and after their training period. Indeed, they continued taking specialised courses, notably as regards anti-money laundering measures and risk management.

Within the scope of the continuing staff training, 196 attendances have been recorded for the different courses on subjects such as criminal law and economic crime, legislation on commercial companies, anti-money laundering measures, risk management, IAS standards, specialised English for meetings and negotiations, team management and diverse IT applications.

The CSSF having concentrated in 2003 on the training of the new recruits of 2002 and their integration into the teams of the different departments, no recruitment took place during that year. As four agents left the CSSF for other government services, total staff amounted to 199 as at 31 December 2003, 175 agents of which with civil servant status and 24 agents under the status as State employee.

Movements in staff numbers



The year 2004 will be marked by a recruitment drive in two stages. The first open competition will be held in spring for the *carrière supérieure* and a second one in autumn for the *carrière moyenne*. The purpose of the recruitment drive is to replace the aforementioned departures as well as compensate for the reduction in working hours of several agents (part-time jobs, leaves for part-time work, etc.).

3. Information technology department

The activities of the IT department in 2003 focused on the introduction of the new Electronic Document Management System (DMS) system that was finalised in December 2003. The former system, which grouped the electronic mail and document management system and dated back to the IML, had not known any development in the last years. The new system, which is based on Lotus Notes and Domino.doc, allows all the CSSF departments to use a protected and centralised system to access documents. The system is perfectly integrated into the Lotus Notes messaging server set up at the end of March 2003. The shift to additional services such as scanning, workflow management or archiving is already planned.

The periodic and TAF reporting have not been subject to any major changes. Their specifications are available on the CSSF website in the heading “*Reporting légal*” (<http://www.cssf.lu/fr/report/index.html>). The renewal of the internal application to operate the periodic reporting is being analysed. The team of dataflow managers, who is in charge of validating the incoming reporting files, continued to guarantee the quality through their numerous interventions with financial institutions. The obligation to report the specific studies via the Librac transmission channel however encountered a few technical issues: the files were incorrectly encrypted or the names did not correspond to the CSSF’s instructions.

To guarantee the update of the address lists of the supervised entities and the other contacts of the CSSF, an address server connected to the different reporting databases has been set up.

As regards IT operation, the necessary installations to set up new applications went off smoothly. In order to optimise the use of the various application servers for specific tasks, a virtual infrastructure solution allowing to run several operating systems has been installed. Thus, servers needing only little resources can share a single hardware platform. Moreover, the quick installation of a new server for testing purposes for instance, is easily feasible without acquisition of supplementary equipment.

As far as corporate governance is concerned, a committee gathering the executive board and all the heads of departments meets every two months in order to define the IT strategy and to agree on the projects and the proposed planning.

4. Staff members (as at 1 March 2004)

Executive Board

Director General | Jean-Nicolas SCHAUS
Directors | Arthur PHILIPPE | Charles KIEFFER

Executive Secretaries | Marcelle MICHELS | Monique REISDORFFER
| Joëlle DELOOS | Carole EICHER

Information Technology Audit | David HAGEN | Claude BERNARD | Pascal DUCARN

Internal Audit | Marie-Anne VOLTAIRE

Director General’s Advisors | Marc WEITZEL | Geneviève PESCATORE

IT coordination | Pascale DAMSCHEN

Systems Security | Constant BACKES

INTERNAL ORGANISATION OF THE CSSF

General Secretariat

Head of department	Danièle BERNA-OST
Deputy head of department	Danielle MANDER
	Benoît JUNCKER Carine CONTÉ Natasha DELOGE
	Jean-François HEIN Michel HEINTZ Nadine HOLTZMER
	Iwona MASTALSKA Christiane TRAUSSCH

Department for the Supervision of banks

Head of department	Claude SIMON
Deputy head of department	Frank BISDORFF

- **Division 1 – Supervision of credit institutions 1**

Head of division	Marc WILHELMUS
	Marco BAUSCH Jean LEY Françoise DALEIDEN
	Romain DE BORTOLI Martine WAGNER Gilles JANK
	Yves SIMON Michèle TRIERWEILER

- **Division 2 - Supervision of credit institutions 2**

Head of division	Ed. ENGLARO
	Isabelle LAHR Claudine TOCK
	Anouk DONDELINGER Jacques STREWELER

- **Division 3 - Supervision of credit institutions 3**

Head of division	Jean-Paul STEFFEN
	Jean MERSCH Joan DE RON Alain WEIS
	Carlos AZEVEDO PEREIRA Gérard KIEFFER

- **Division 4 - Supervision of credit institutions 4**

Head of division	Nico GASPARD
	Claude MOES Monica CECCARELLI Steve POLFER

- **Division 5 - Supervision of credit institutions 5**

Head of division	Patrick WAGNER
	Jean-Louis BECKERS Christina PINTO Marc BORDET
	Jean-Louis DUARTE Marina SARMENTO

- **Division 6 – International and legal affairs division**

Head of division	Romain STROCK
	Guy HAAS Nadia MANZARI

- **Special functions** | Danièle KAMPHAUS-GOEDERT | Marguy MEHLING
| Claude REISER | Joëlle MARTINY | Davy REINARD
| Alain HOSCHIED | Ronald KIRSCH | Patrick MAAR
| Manuel NEU | Edouard REIMEN | Claude WAMPACH

- **Secretaries** | Michèle DELAGARDELLE | Claudine WANDERSCHIED

Department for the Supervision of undertakings for collective investment

Head of department | Simone DELCOURT
Deputy head of department | Irmine GREISCHER

- **International and legal affairs division**
| François HENTGEN | Jean-Marc GOY | Joëlle HERTGES
- **Practical studies and specific aspects**
| Pierre BODRY | Géraldine OLIVERA
- **IT systems** | Nico BARTHELS | Danièle CHRISTOPHORY
- **Coordination of Divisions 1 to 6**
| Francis KOEPP
- **Division 1 – Supervision of UCIs 1**

Head of division | Charles THILGES
| Marc SIEBENALER | Nicole GROSBUSCH
| Dominique HERR | Francis LIPPERT | Claude WAGNER
| Tom EWEN | Dave REUTER
- **Division 2 - Supervision of UCIs 2**

Head of division | Vic MARBACH
| Martine KERGER | Géraldine APPENZELLER | Marc DECKER
| Guy MORLAK | Marie-Rose COLOMBO | Thierry STOFFEL
| Damien HOUEL
- **Division 3 - Supervision of UCIs 3**

Head of division | Ralph GILLEN
| Nathalie CUBRIC | Joël GOFFINET | Karin HOFFMANN
| Marc RACKÉ | Son BACKES | Laurent CHARNAUT
| Martin MANNES
- **Division 4 - Supervision of UCIs 4**

Head of division | Angela DE CILLIA
| Fabio ONTANO | Alain STROCK | Eric TANSON
| Roberto MONTEBRUSCO | René SCHOTT
| Stéphanie BONIFAS | Anne-Marie HOFFELD
| Diane REUTER | Sabine SCHIAVO
- **Division 5 – Approval of UCIs**

Head of division | Francis GASCHÉ
| Pierre REDING | Anica GIEL-MARKOVINOVIC
| Nadine PLEGER | Pascale SCHMIT | Daniel CICCARELLI
| Nathalie REISDORFF | Michèle WILHELM | Yolanda ALONSO
| Daniel SCHMITZ | Evelyne PIERRARD
- **Division 6 – Approval and supervision of management companies**

Head of division | Pascal BERCHEM
| Anne CONRATH | Pascale FELTEN-ENDERS
| Isabelle Maryline SCHMIT

INTERNAL ORGANISATION OF THE CSSF

- **Division 7 – Data management and risk management of UCIs**

Head of division | Claude STEINBACH
| Jolanda BOS | Adrienne ANDRÉ-ZIMMER
| Danielle NEUMANN | Marie-Louise BARITUSSIO
| Claude KRIER | Josiane LAUX | Claudine THIELEN
| Suzanne WAGNER

- **Division 8 – Approval and permanent supervision of pension funds**

Head of division | Christiane CAMPILL
| Marc PAULY | Didier BERGAMO

- **Secretaries** | Sandy BETTINELLI | Carla DOS SANTOS
| Karin FRANTZ | Simone KUEHLER

Department for the Supervision of the other professionals of the financial sector

Head of department | Sonny Bisdorff-Letsch
Deputy head of department | Denise Losch
| Carlo Felicetti | Brigitte Jacoby | Carole Ney
| Luc Pletschette | Sylvie Mamer | Carine Merkes
| Claudia Miotto | Anne Marson | Martine Simon
| Gérard Brimeyer

Secretary | Emilie Lauterbour

Department for the Supervision of securities markets

Head of department | Françoise Kauthen
Deputy head of department | Annick Zimmer
| Mylène Hengen | Simone Gloesener
| Pierre Van de Berg | Karin Weirich | Ngoc Dinh Luu
| Malou Hoffmann | Maggy Wampach | Sylvie Nicolay

Secretary | Marie-Josée Pulcini

Department Administration and finance

Head of department | Edmond Jungers
Deputy head of department | Georges Bechtold

- **Division 1 – Human resources and everyday management**

Head of division | Georges Bechtold
| Alain Kirsch | Fernand Roller | Raul Domingues
| Marco Valente | Paul Clement

- **Division 2 – Financial management**

Head of division | Jean-Paul Weber
| Carlo Pletschette | Elisabeth Demuth

- **Secretary** | Milena Calzettoni

IT Department

Head of department | Jean-Luc FRANCK
Deputy head of department | Sandra WAGNER

- **Division 1 – Analysis and development**

Head of division | Paul HERLING
| Marc KOHL | Guy WAGENER

- **Division 2 – Database management**

| Sandra WAGNER

- **Division 3 – Operating systems**

Head of division | Guy FRANTZEN
| Jean-Jacques DUHR | Edouard LAUER
| Jean-François BURNOTTE | Nadine ESCHETTE

- **Division 4 – Dataflow management**

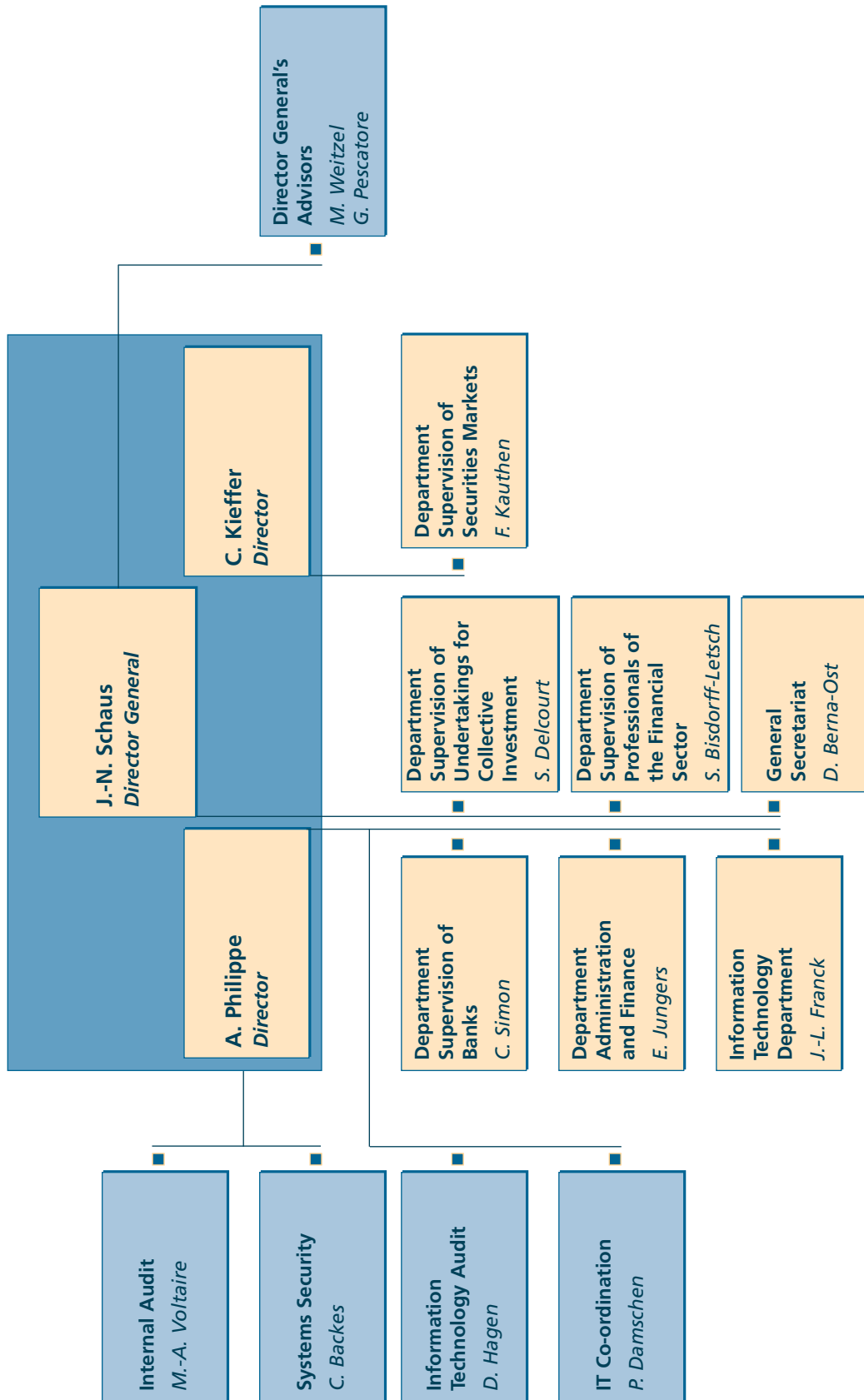
Head of division | Joao Pedro ALMEIDA
| Karin PROTH | Carine SCHILTZ

Financial controller

| PricewaterhouseCoopers

INTERNAL ORGANISATION OF THE CSSF

Organisation chart



5. Internal Committees

Prudential regulation consultative committee

President | Jean-Nicolas SCHAUS
 Members | Rafik FISCHER | Jean FUCHS | Jean GUILL | Robert HOFFMANN
 | Michel MAQUIL | François MOES | Arthur PHILIPPE | Lucien THIEL
 Secretary | Danielle MANDER

Anti-money laundering steering committee

President | Jean-Nicolas SCHAUS
 Members | Patrice BERNABEI | Claude BIRNBAUM | Carlo DAMGE | Jacques DELVAUX
 | Lucy DUPONG | Jean-Paul FRISING | Jean GUILL | Pia HAAS
 | Jean-François HEIN | Willy HEIN | Pit HENTGEN | Paul HIPPERT
 | Guy HORNICK | Jean-Luc KAMPHAUS | Pierre KRIER
 | Jean-Marie LEGENDRE | François MOES | Arthur PHILIPPE | Victor ROD
 | Daniel RUPPERT | Guy SCHLEDER | Thomas SEALE | Romain STROCK
 | Lucien THIEL | Lony THILLEN | Marc WEITZEL
 Secretary | Geneviève PESCATORE

Other financial sector professionals committee

President | Jean-Nicolas SCHAUS
 Members | Pierre-Yves AUGSBURGER | Danièle BERNA-OST | Freddy BRAUSCH
 | Jean BRUCHER | Christian CADE | Henri DE CROUY-CHANEL | Alain FEIS
 | Jean FUCHS | Irmine GREISCHER | Charles KIEFFER | Didier MOUGET
 | Jean-Michel PACAUD | Jacques PETERS
 Secretary | Anne MARSON

Banks committee

President | Arthur PHILIPPE
 Members | Stéphane BOSI | Bruno COLMANT | Ernest CRAVATTE
 | Jean-Claude FINCK | Charles HAMER | Roger H. HARTMANN
 | Pierre KRIER | Jean MEYER | François MOES | Paul MOUSEL
 | Adrien NEY | Frédéric OTTO | Guy ROMMES | Jean-Nicolas SCHAUS
 | Claude SIMON | Romain STROCK | Lucien THIEL | Etienne VERWILGHEN
 | Klaus-Michael VOGEL | Henri WAGNER
 Secretary | Martine WAGNER

Banking accounting committee

President | Arthur PHILIPPE
 Members | André-Marie CRELOT | Eric DAMOTTE | Serge DE CILLIA | Doris ENGEL
 | Norbert GOFFINET | Jean-Paul ISEKIN | Carlo LESSEL | Bernard LHOEST
 | Vafa MOAYED | Roland NOCKELS | Jean-Nicolas SCHAUS
 | Thomas SCHIFFLER | Claude SIMON | Romain STROCK | Alain WEBER
 Secretary | Danièle KAMPHAUS-GOEDERT

Company domiciliation committee

President | Jean-Nicolas SCHAUS
 Members | Gérard BECQUER | Danièle BERNA-OST | Johan DEJANS | Lucy DUPONG
 | Victor ELVINGER | Guy HARLES | Guy HORNICK | Charles KIEFFER
 | Jean LAMBERT | Jean-Jacques ROMMES | Carlo SCHLESSER
 | Christiane SCHMIT | Marc WEITZEL | François WINANDY
 Secretary | Luc PLETSCHETTE

INTERNAL ORGANISATION OF THE CSSF

Pension funds committee

President | Jean-Nicolas SCHAUS
Members | Freddy BRAUSCH | Christiane CAMPILL | Simone DELCOURT
| Jacques ELVINGER | Rafik FISCHER | Irmine GREISCHER
| Fernand GRULMS | Robert HOFFMANN | Claude KREMER
| Anne-Christine LUSSIE | Jacques MAHAUX | Olivier MORTELMANS
| Arthur PHILIPPE | Jean-Jacques ROMMES | Jean-Paul WICTOR
| Claude WIRION | Jacques WOLTER
Secretary | Geneviève PESCATORE

Information technology committee

President | Arthur PHILIPPE
Members | Nico BARTHELS | Jean-Luc FRANCK | David HAGEN
| Marc HEMMERLING | Dominique LALIN | Bruno LEMOINE
| Claude MELDE | Alain PICQUET | Olivier PEMMERS
| François SCHWARTZ | Alain TAYENNE | Dominique VALSCHAERTS
Secretary | Pascale DAMSCHEN

Committee of legal experts

President | Jean-Nicolas SCHAUS
Members | Maria DENNEWALD | Philippe DUPONT | Irmine GREISCHER
| André HOFFMANN | Jean-Luc KAMPHAUS | Christian KREMER
| Jacques LOESCH | André LUTGEN | Yves PRUSSEN
| Jean-Jacques ROMMES | Jean STEFFEN | Marc WEITZEL
Secretary | Geneviève PESCATORE

Mortgage bonds committee

President | Arthur PHILIPPE
Members | Janine BIVER | Reinolf DIBUS | Thomas FELD | Jean-François HEIN
| Clive KELLOW | Jean-Jacques ROMMES | Raymond SCHADECK
| Jean-Nicolas SCHAUS | Thomas SCHIFFLER | Martin SCHULTE
| Claude SIMON | Romain STROCK
Secretary | Michèle TRIERWEILER

Transferable securities markets committee

President | Charles KIEFFER
Members | Danièle BERNA-OST | Daniel DAX | Serge DE CILLIA
| Jean-Paul DEKERK | Axel FORSTER | Giovanni GIALLOMBARDO
| Irmine GREISCHER | Jean HOSS | Françoise KAUTHEN
| Claude KREMER | Jean-Nicolas SCHAUS | Richard SCHNEIDER
| Jean-Marie SCHOLLER
Secretary | Annick ZIMMER

Undertakings for collective investment committee

President | Jean-Nicolas SCHAUS
Members | Jacques BOFFERDING | Freddy BRAUSCH | Simone DELCOURT
| Jacques DELVAUX | Jacques ELVINGER | Jean-Claude FINCK
| Rafik FISCHER | Jean-Michel GELHAY | Irmine GREISCHER
| Manuel HAUSER | Robert HOFFMANN | Claude KREMER
| Michel MALPAS | Julian PRESBER | Jean-Jacques ROMMES
| Marc SALUZZI | Thomas SEALE | Alex SCHMITT
| Dominique VALSCHAERTS | Eric VAN DE KERKHOVE
| Julien ZIMMER | Patrick ZURSTRASSEN
Secretary | Jean-Marc GOY