

## Document technique relatif aux tableaux ad hoc (schedule of conditions)

All tables have to be sent in units expressed in EURO with two decimals, except for tables II.17 and II.18 where whole numbers have to be entered

The columns with percentages have to be sent with two decimals as well

### **P2.01 Table II.1 two columns (Conseiller en opérations financières)**

Nombre	NBR	A-1, A-1.1
Montant	AMT	A-2, A-3
Verification rule line	A-1.1 NBR must be less or equal to line A-1 NBR	
A-1	E	
A-1.1	X	
A-2	E	
A-3	E	
No total line		

(E = entry line, X = subtotal, T= total)

### **P2.02A Table II.2.A. six columns (Courtiers)**

Nombre	NBR
Montant	AMT
Commissions perçues	CPE
Commissions payées	CPA
Pourcentage par rapport au double de 1)	PR1
Pourcentage par rapport au double de 2)	PR2
Total	

A-1 ,A-2 , A-3 , A-4 , A-5 are entry lines. The sum of these lines equals A-99 total line for the columns NBR, AMT CPE and CPA

If column NBR is greater than 0, the column AMT has to be greater than 0

Total lines have to be provided to the CSSF

B-6 , B-7 and B-8 are entry lines (percentages) columns PR1 and PR2 (NO TOTAL LINE)

### **P2.02B Table II.2.B two columns (Commissionnaires)**

Nombre	NBR	A-1 , A-1.1
Montant	AMT	A-1, A-1.1 , A-2 and A-3
Verification rule lines	A-1.1 NBR and AMT smaller or equal to line A-1 NBR and AMT	
If lines A-1 and A-1.1 columns NBR are greater than 0 , columns AMT have to be greater than 0		
A-1	E	
A-1.1	X	
A-2	E	
A-3	E	
No total line		

### **P2.03 Table II.3 two columns (Gérants de fortunes)**

Nombre	NBR
Montant	AMT
Total	

A-99 AMT (is a total line, it has to be delivered to the CSSF)

B-1	E
B-1.1	X
B-2	E
B-2.1	X
B-2.2	X
B-2.3	X
B-3	E
B-4	E
C-5	E
C-6	E
C-6.1	X
C-6.2	X
C-7	E
C-8	E
D-9	E
D-10	E
D-10.1	X

Verification rules

A-99 AMT is the total of the lines B-2 AMT + C-6 AMT - B2.1 AMT

B-1.1 NBR is smaller or equal to line B-1 NBR

B-2.1 + B-2.2 + B-2.3 AMT are smaller or equal to B-2 AMT

C-6.1 + C-6.2 AMT are smaller or equal to C-6 AMT

D-10.1 NBR and AMT is smaller or equal to D-10 NBR and AMT

**P2.04 Table II.4 five columns (Professionnels intervenant pour leur propre compte)**

Table II.4 has six sub tables (C,D,E,F,G,H), these sub tables are lists which are numbered while injected into our system

Columns

Valeur d'acquisition	VAC
Valeur d'évaluation	VAE
Plus-values non réalisées	PVR
Moins-values non réalisées	MVN
Corrections de valeur si dépréciation durable	CDD

Verification rules

In sub tables C, D, E, F, G, H, if for each individual lines PVR is reported, then MVN has to be 0. The same rules applies if MVN is reported, then PVR has to be 0

This rule does not apply for total lines of sub-tables C,D,E,F,G,H

Sub table C

Subtotal C-1.1 is equal to line A-1 of table 4 all columns

C-1.1 = C-001 to C-999

Sub table D

Subtotal D-2.1 is equal to line A-2 of table 4 all columns

D-2.1 = D-001 to D-999

Sub table E

Subtotal E-3.1 is equal to line A-3 of table 4 all columns

E-3.1 = E-001 to E-999

Sub table F

Subtotal F-4.1 is equal to line B-4 of table 4 all columns

F-4.1 = F-001 to F-999

Sub table G

Subtotal G-5.1 is equal to line B-5 of table 4 all columns

G-5.1 = G-001 to G-999

Sub table H

Subtotal H-6.1 is equal to line B-6 of table 4 all columns

H-6.1 = H-001 to H-999

Total of lines A-1 + A-2 + A-3 is subtotal A-99.1 for all columns

Total of lines B-4 + B-5 + B-6 is subtotal B-99.2 for all columns

Total of subtotal lines A-99.1 + B-99.2 is equal to grand total B-99 for all columns

All subtotal and total lines have to be reported to the CSSF and compared through verification rules

Lines	
A-1	E
C-1.1	T
A-2	E
D-2.1	T
A-3	E
E-3.1	T
A-99.1	T
B-4	E
F-4.1	T
B-5	E
G-5.1	T
B-6	E
H-6.1	T
B-99.2	T
B-99	T

**P2.05 Table II.5 one column (Dépositaires professionnels de titres)**

Montant AMT  
 Lines A-1.1 + A-1.2 are smaller or equal to line A-1

A-1	E
A-1.1	X
A-1.2	X
A-2	E

**P2.06 Table II.6 two columns (Distributeurs de parts d'OPC pouvant faire et accepter des paiements)(sans faire et accepter des paiements)**

Nombre NBR  
 Montant AMT

No total lines

A-1	E
B-2	E

One column AMT only  
 C-3 E

**P2.07 Table II.7 two columns (Preneurs ferme)**

Nombre NBR  
 Montant AMT

No total lines

A-1	E
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**P2.08 Table II.8 two columns (Agents de transfert et de registre)**

Nombre NBR  
 Montant AMT

No total lines

A-1	E
A-1.1	X

A-1.2	X
A-2	E

Verification rule  
 Lines A-1.1 + A-1.2 are smaller or equal to line A-1

**P2.09 Table II.9 two columns (Teneurs de marché)**

No total lines

A-1	E	NBR
A-1	E	AMT

**P2.10 Table II.10 two columns (Personnes effectuant des opérations de change-espèces)**

Nombre	NBR
Montant	AMT

No total lines

A-1	E
A-1.1	X
A-2	E

Verification rule  
 Line A-1.1 is smaller or equal to line A-1

**P2.11 Table II.11 three columns (Recouvrement de créances)**

Nombre de débiteurs pour lesquels le recouvrement est demandé	NBD
Montant total des encours	AMT
Nombre de clients demandant le recouvrement	NBC

No total lines

Line A-1	E
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**P2.12 Table II.12 four columns (Professionnels effectuant des opérations de prêt)**

Nombre	NBR
Montant	AMT
Correction de valeur	COV

Total of lines A-1.1, A-1.2, A-1.3, A-1.4 is smaller or equal to line A-1 NBR, AMT, COV  
 No total line

A-1	E
A-1.2	X
A-1.3	X
A-1.4	X

Sub table 12b) four columns

NOM	FTX
Montants des encours	AMT
Secteur d'activité	SEC (FREE TEXT)
Corrections de valeur constituées	CVC

These four columns are a list of values there is no total line

Lines B-001  
B-002  
...

Line C-2      E                      AMT

**P2.13 Table II.13 one column (Professionnels effectuant du prêt de titres)**

Montant	AMT
A-1	E
A-2	E
A-3	E
No total line	

**P2.14 Table II.14 two columns (Professionnels effectuant des services de transfert de fonds)**

Nombre de transfert	NBR
Montant	AMT
A-1	E
A-1.1	X
A-1.2	X
A-1.3	X
A-1.4	X
A-2	E

Total of lines A-1.1, A-1.2, A-1.3 and A-1.4 is smaller or equal to line A-1  
Line A-2 has only one column AMT  
No total line

**P2.15 Table II.15 two columns (Administrateurs de Fonds Communs d'Epargne)**

Nombre	NBR
Montant	AMT
A-1	E
B-2	E
B-3	E

No total line

**P2.16 Table II.16 two columns (Gestionnaires d'OPC non coordonnés)**

Nombre	NBR
Montant	AMT
A-1	E only column NBR
A-2	E only column AMT
A-3	E only column AMT
No total line	

**P2.17 Table II.17 Twelve/Thirteen columns (PSF de support: Contrats Individuels)**

First part of table P2.17 twelve columns lines ACC-1 to ACC-5

Contrats individuels	LFN (L=Luxembourg, F=Secteur Financier, N=Nombre de contrats)
Chiffre d'affaires	LFA (A=Amount, chiffre d'affaires)
Contrats individuels	LAN (A=Secteur des Assurances)
Chiffre d'affaires	LAA
Contrats individuels	LDN (D=Autres, Divers)
Chiffre d'affaires	LDA

Contrats individuels	EFN (E=client étranger)
Chiffre d'affaires	EFA
Contrats individuels	EAN
Chiffre d'affaires	EAA
Contrats individuels	EDN
Chiffre d'affaires	EDA

Second part of table P2.17 twelve columns line AA-1

Contrats individuels	LFN
Chiffre d'affaires	LFA
Contrats individuels	LAN
Chiffre d'affaires	LAA
Contrats individuels	LDN
Chiffre d'affaires	LDA

Contrats individuels	EFN
Chiffre d'affaires	EFA
Contrats individuels	EAN
Chiffre d'affaires	EAA
Contrats individuels	EDN
Chiffre d'affaires	EDA

Third part of table P2.17 twelve columns lines OSIP-1 to OSIP-6

Contrats individuels	LFN
Chiffre d'affaires	LFA
Contrats individuels	LAN
Chiffre d'affaires	LAA
Contrats individuels	LDN
Chiffre d'affaires	LDA

Contrats individuels	EFN
Chiffre d'affaires	EFA
Contrats individuels	EAN
Chiffre d'affaires	EAA
Contrats individuels	EDN
Chiffre d'affaires	EDA

Fourth part of table P2.17 twelve columns lines OSIS-1 to OSIS-6

Contrats individuels	LFN
Chiffre d'affaires	LFA
Contrats individuels	LAN
Chiffre d'affaires	LAA
Contrats individuels	LDN
Chiffre d'affaires	LDA

Contrats individuels	EFN
Chiffre d'affaires	EFA
Contrats individuels	EAN
Chiffre d'affaires	EAA
Contrats individuels	EDN
Chiffre d'affaires	EDA

Fifth part of table P2.17 **thirteen** columns lines D-1 to D-9

Autres	FTX (max 128 characters)
Contrats individuels	LFN
Chiffre d'affaires	LFA
Contrats individuels	LAN
Chiffre d'affaires	LAA
Contrats individuels	LDN
Chiffre d'affaires	LDA
Contrats individuels	EFN
Chiffre d'affaires	EFA
Contrats individuels	EAN
Chiffre d'affaires	EAA
Contrats individuels	EDN
Chiffre d'affaires	EDA

If xxN > 0 then corresponding xxA >0  
 If xxA > 0 then corresponding xxN >0

If type\_activité <> ACC then xxN and xxA (ACC-1 – ACC-5) must be 0  
 If type\_activité <> AA then xxN and xxA (AA-1) must be 0  
 If type\_activité <> IT then xxN and xxA (OSIP-1 – OSIP-6) must be 0  
 If type\_activité <> ITSEC then xxN and xxA (OSIS-1 – OSIS-6) must be 0

If xxN or xxA <> 0 then FTX <>0

	LFN	LFA	LAN	LAA	LDN	LDA	EFN	EFA	EAN	EAA	EDN	EDA	
ACC-1	E	E	E	E	E	E	E	E	E	E	E	E	
ACC-2	E	E	E	E	E	E	E	E	E	E	E	E	
ACC-3	E	E	E	E	E	E	E	E	E	E	E	E	
ACC-4	E	E	E	E	E	E	E	E	E	E	E	E	
ACC-5	E	E	E	E	E	E	E	E	E	E	E	E	
AA-1	E	E	E	E	E	E	E	E	E	E	E	E	
OSIP-1	E	E	E	E	E	E	E	E	E	E	E	E	
OSIP-2	E	E	E	E	E	E	E	E	E	E	E	E	
OSIP-3	E	E	E	E	E	E	E	E	E	E	E	E	
OSIP-4	E	E	E	E	E	E	E	E	E	E	E	E	
OSIP-5	E	E	E	E	E	E	E	E	E	E	E	E	
OSIP-6	E	E	E	E	E	E	E	E	E	E	E	E	
OSIS-1	E	E	E	E	E	E	E	E	E	E	E	E	
OSIS-2	E	E	E	E	E	E	E	E	E	E	E	E	
OSIS-3	E	E	E	E	E	E	E	E	E	E	E	E	
OSIS-4	E	E	E	E	E	E	E	E	E	E	E	E	
OSIS-5	E	E	E	E	E	E	E	E	E	E	E	E	
OSIS-6	E	E	E	E	E	E	E	E	E	E	E	E	
	FTX	LFN	LFA	LAN	LAA	LDN	LDA	EFN	EFA	EAN	EAA	EDN	EDA
D-1	E	E	E	E	E	E	E	E	E	E	E	E	E
D-2	E	E	E	E	E	E	E	E	E	E	E	E	E
D-3	E	E	E	E	E	E	E	E	E	E	E	E	E
D-4	E	E	E	E	E	E	E	E	E	E	E	E	E
D-5	E	E	E	E	E	E	E	E	E	E	E	E	E
D-6	E	E	E	E	E	E	E	E	E	E	E	E	E
D-7	E	E	E	E	E	E	E	E	E	E	E	E	E
D-8	E	E	E	E	E	E	E	E	E	E	E	E	E
D-9	E	E	E	E	E	E	E	E	E	E	E	E	E

**P2.18 Table II.18 Nine/Eighteen columns (PSF de support: Contrats Globaux)**

Line A-1      nine columns

Chiffre d'affaires	C1A
Chiffre d'affaires	C2A
Chiffre d'affaires	C3A
Chiffre d'affaires	C4A
Chiffre d'affaires	C5A
Chiffre d'affaires	C6A
Chiffre d'affaires	C7A
Chiffre d'affaires	C8A
Chiffre d'affaires	C9A

Lines A-2 to A-4 eighteen columns

check box	C1E
check box	C1L
check box	C2E
check box	C2L
check box	C3E
check box	C3L
check box	C4E
check box	C4L
check box	C5E
check box	C5L
check box	C6E
check box	C6L
check box	C7E
check box	C7L
check box	C8E
check box	C8L
check box	C9E
check box	C9L

If  $C_{xA} > 0$  then  $COUNT(A-2...A-4; C_{xE}...C_{xL}) = 1$

If  $COUNT(A-2...A-4; C_{xE}...C_{xL}) > 1$  then reject

First part of table P2.18 nine columns lines ACC-1 to ACC-5

Check box	C1C
Check box	C2C
Check box	C3C
Check box	C4C
Check box	C5C
Check box	C6C
Check box	C7C
Check box	C8C
Check box	C9C

Second part of table P2.18 nine columns line AA-1

Check box	C1C
Check box	C2C
Check box	C3C
Check box	C4C
Check box	C5C
Check box	C6C
Check box	C7C
Check box	C8C
Check box	C9C



Third part of table P2.18 nine columns lines OSIP-1 to OSIP-6

Check box C1C  
 Check box C2C  
 Check box C3C  
 Check box C4C  
 Check box C5C  
 Check box C6C  
 Check box C7C  
 Check box C8C  
 Check box C9C

Fourth part of table P2.18 nine columns lines OSIS-1 to OSIS-6

Check box C1C  
 Check box C2C  
 Check box C3C  
 Check box C4C  
 Check box C5C  
 Check box C6C  
 Check box C7C  
 Check box C8C  
 Check box C9C

Fifth part of table P2.18 ten columns lines D-1 to D-9

Autres FTX (max 128 characters)  
 Check box C1C  
 Check box C2C  
 Check box C3C  
 Check box C4C  
 Check box C5C  
 Check box C6C  
 Check box C7C  
 Check box C8C  
 Check box C9C

If CxA > 0 then count(CxC;ACC-1...ACC5, AA1, OSIP-1...OSIP-6, OSIS-1...OSIS-6, D-1....D-9) >0

If type\_activité <> ACC then xxN and xxA (ACC-1 – ACC-5) must be 0

If type\_activité <> AA then xxN and xxA (AA-1) must be 0

If type\_activité <> IT then xxN and xxA (OSIP-1 – OSIP-6) must be 0

If type\_activité <> ITSEC then xxN and xxA (OSIS-1 – OSIS-6) must be 0

	C1A	C2A	C3A	C4A	C5A	C6A	C7A	C8A	C9A
A-1	E	E	E	E	E	E	E	E	E

	C1E	C1L	C2E	C2L	C3E	C3L	C4E	C4L	C5E	C5L	C6E	C6L	C7E	C7L	C8E	C8L	C9E	C9L
A-2	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E
A-3	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E
A-4	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E

	C1A	C2A	C3A	C4A	C5A	C6A	C7A	C8A	C9A
ACC-1	E	E	E	E	E	E	E	E	E
ACC-2	E	E	E	E	E	E	E	E	E
ACC-3	E	E	E	E	E	E	E	E	E
ACC-4	E	E	E	E	E	E	E	E	E
ACC-5	E	E	E	E	E	E	E	E	E
AA-1	E	E	E	E	E	E	E	E	E
OSIP-1	E	E	E	E	E	E	E	E	E
OSIP-2	E	E	E	E	E	E	E	E	E

OSIP-3	E	E	E	E	E	E	E	E	E
OSIP-4	E	E	E	E	E	E	E	E	E
OSIP-5	E	E	E	E	E	E	E	E	E
OSIP-6	E	E	E	E	E	E	E	E	E
OSIS-1	E	E	E	E	E	E	E	E	E
OSIS-2	E	E	E	E	E	E	E	E	E
OSIS-3	E	E	E	E	E	E	E	E	E
OSIS-4	E	E	E	E	E	E	E	E	E
OSIS-5	E	E	E	E	E	E	E	E	E
OSIS-6	E	E	E	E	E	E	E	E	E

	FTX	C1A	C2A	C3A	C4A	C5A	C6A	C7A	C8A	C9A
D-1	E	E	E	E	E	E	E	E	E	E
D-2	E	E	E	E	E	E	E	E	E	E
D-3	E	E	E	E	E	E	E	E	E	E
D-4	E	E	E	E	E	E	E	E	E	E
D-5	E	E	E	E	E	E	E	E	E	E
D-6	E	E	E	E	E	E	E	E	E	E
D-7	E	E	E	E	E	E	E	E	E	E
D-8	E	E	E	E	E	E	E	E	E	E
D-9	E	E	E	E	E	E	E	E	E	E

**P2.19 Table II.19 Vide**

**P2.20 Table II.20 one column (Professionnels effectuant des services de constitution et de gestion sociétés)**

NBR            Nombre

The total of line A-1.1, A-1.2 and A-1.3 is smaller or equal to line A-1  
The total of line A-2.1, A-2.2 and A-2.3 is smaller or equal to line A-2  
The lines A-3 and A-4 are only entry lines

A-1	E
A-1-1	X
A-1.2	X
A-1.3	X
A-2	E
A-2-1	X
A-2-2	X
A-2.3	X
A-3	E
A-4	E

There are four lists attached to the table II.20  
These lists contain the names of credit institutions both from Luxembourg and abroad

**P2.21 Table II.21 one column (Domiciliataires de sociétés)**

NBR            Nombre

The total of line A-1.1, A-1.2 and A-1.3 is smaller or equal to line A-1  
The line A-2 is an entry line

A-1	E
A-1.1	X
A-1-2	X
A-1-3	X

A-2            E

There are two lists attached to the table II.201  
These lists contain the names of credit institutions both from Luxembourg and abroad

**P2.22 Table II.22 two columns (Activités permises par l'article 28 de la loi du 15 décembre 2000 sur les services postaux et les services financiers postaux)**

NBR            Nombre  
AMT            Montant

The line A-1 has two columns NBR and AMT it is an entry line  
The lines B-2 and B-3 have one column AMT they are both entry lines  
The lines C-4 AND C-5 have one column NBR they are both entry lines