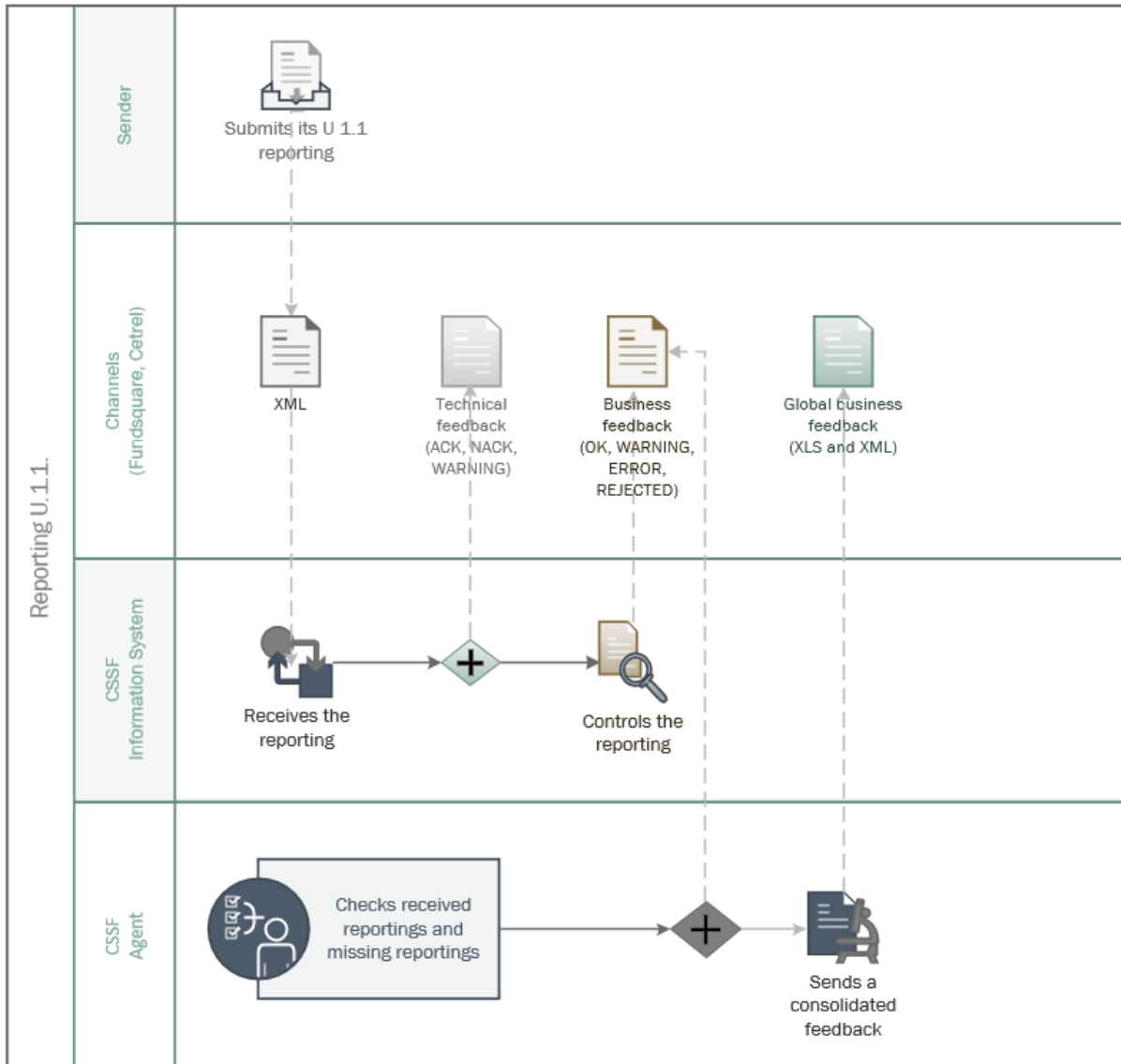


Reporting U 1.1. – Report Lifecycle including CSSF’s feedbacks



The sender submits a U 1.1. reporting file for each UCI that was authorised by the CSSF.

U 1.1. reporting files are transmitted to the CSSF via one of the authorised channels (Fundsquare, Cetrel, ...).

U 1.1. reporting files are injected into the CSSF information system. A first technical feedback is automatically sent in response to the receipt of each file.

After a series of controls upon the reporting file a first business feedback is sent for each file. This feedback is an XML file which contains the global control status which could be “OK”, ”WARNING”, “ERROR” or “REJECTED”.

This first business feedback doesn’t contain more detailed information on controls with errors. A CSSF agent is checking the errors in order to exclude not updated information or errors in CSSF’s database before a consolidated feedback is sent to each sender.

This global business feedback is sent in both XML and Excel format. It covers the list of all missing reports and all controls with errors including the CSSF agent’s comments.