

In case of discrepancies between the French and the English text,
the French text shall prevail

Manual of electronic transmission of report TPTIBS « Monthly security by security reporting of financial companies»

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1 Introduction

This manual details the technical characteristics that must be observed for the electronic transmission of security by security data.

The purpose of this manual is to describe the general principles of the security by security reporting in XML format. The instructions for this reporting are described in the document «Security by security reporting of financial companies». The XML schema and a technical documentation are available for downloading on the BCL website (www.bcl.lu).

It is important to know that the design of the XML reporting is based on a tree-structured menu. For instance, for a security, the information to be provided depends on:

- Firstly, the line of the balance sheet in which the security is reported,
- Secondly, the identification of the security by means of either its ISIN code or any other code,
- Thirdly, the security type,
- Fourthly, the security quotation type.

The data to be reported must satisfy the general checks of format or belonging to a specific code list. The possibilities of the code also depend on the place of the data in the tree-structured menu.

This menu contains format constraints for the data, but it does not necessarily confirm the validity of a code that respects the format. The nomenclature, as well as the verification rules defined in this manual, must be respected.

2 Transmission

2.1 Attribution of the file name

The file name structure is the following:

TPTIBS_L1_yyyymm_Rrrrrrrr_Dddddddd_YYYYMMDD_NNN.xml

where

- TPTIBS identifies security by security data (SBS) of financial companies
- L1 indicates that this version is layout 1 of report SBS
- yyyymm represents the year (yyyy) and the month (mm) the data refers to
- R identifies the type of the reporter
- The reporter is the entity that submits the data.

The letters to be used are the following:

- B (Banks)
- P (Professionals of the financial sector)
- S (Management companies)
- I (Professionals of the financial sector – IT companies)
- DSE (Financial companies)

All other entities must use de code «5»

- rrrrrrrr allows the identification of the reporter
- The identification numbers are allocated by the CSSF and/or the BCL. The digits on the left are equal to zero.

Example : Financial company 999 is identified by 000000999..

- D identifies the type of *declarant*

The *declarant* is the entity which the data refers to. Financial companies must use the letters DSE.

- dddddddd allows the identification of the *declarant*

The financial companies must use the numerical part of their identification number of the “registre de commerce” (number RCS) which is a letter followed by maximal 7 digits. The digits on the left are equal to zero.

- yyyymmdd is the creation date of the file.
- nnn is the sequential number of the file

The sequential number of the file allows to separately identify files that are created on the same day for the same report. It should be noted that a new sequence must be started each day and that the sequential number starts at 001; thus 000 must not be used.

Example:

TPTIBS_L1_201406_B000000789_DSE0003524_20140720_001.xml corresponds to the first file created on 20 July 2014, submitted by the credit institution 789, where the data refers to the financial company with the identification number RCS B3524 for the period of June 2014.

2.2 Means of transmission

The BCL accepts the use of the current electronic transmission channels offered by Cetrel and Bourse de Luxembourg. However, the BCL is also willing to accept a new secure transmission channel that is accepted by both, the BCL and the reporting agents.

3 XML scheme for report TPTIBS

The XML scheme and a technical documentation are available for downloading on the BCL's website. It is important to know that the design of the XML reporting is based on a tree-structured menu.

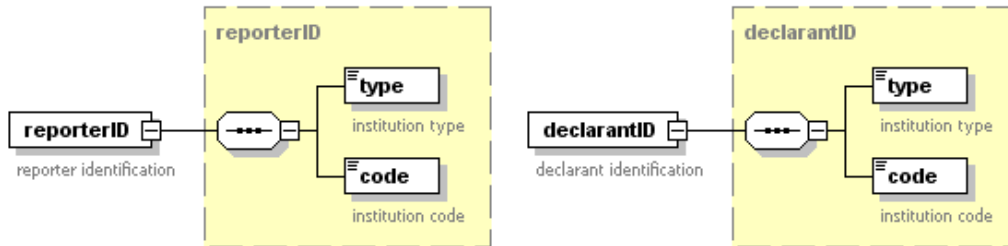
The data to be reported must satisfy the general checks of the format or the classification according to a code list.

The possibilities for the codes also depend on the level of the data in the tree-structured menu.

The scheme contains format constraints for the data, but it does not necessarily specify the validity of a code that respects the format. The nomenclature as well as the rules defined in this manual must be respected.

4 Identification of the reporter and the *declarant*

The identification of the reporter (*reporterId*) and the identification of the *declarant* (*declarantId*) include each the type of the identification number (*type*) and the identification number (*code*).



The association of number types and authorised values are:

Type	Code	In the filename
23	Identification number allocated by the CSSF to banks	<i>B</i>
30	Identification number allocated by the CSSF to management companies	<i>S</i>
32	Identification number allocated by the CSSF to professionals of the financial sector	<i>P</i>
35	Identification number allocated by the BCL to financial companies	<i>DSE</i>
36	Identification number allocated by the CSSF to professionals of the financial sector – IT companies	<i>I</i>
05	Identification number allocated by the BCL	<i>5</i>