

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

Manuel of electronic transmission for statistical reports of financial companies

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1 Introduction

This manual details the technical characteristics that must be observed for the electronic transmission of statistical reports by financial companies.

The instructions relating to the statistical reporting are described in the documents Instructions and Report relating to the statistical reports of financial companies.

The objective of this manual is to describe the general principles of the reporting in XML format applicable for the statistical reports of financial companies. 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 belonging to a code list. The possibilities of the code 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.

2 Transmission

2.1 Attribution of the file name

The file name structure is the following:

S0000_L0_yyyymm_Rrrrrrrr_Dddddddd_yyyymmdd_nnn

where:

- S0000 represents the code of the statistical report
- L0 indicates that this version is layout 0
- yyyymm the year and the month the data refers to
- R identifies the type of the reporter
The reporter is the entity that submits the data.
- The authorised values are displayed under point 4.
- 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 0.
Example: financial company 999 is identified by 000000999.
- D identifies the type of *declarant*
The *declarant* is the entity whose data are reported.
Financial companies must use the value 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 0.
- 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.

2.2 File names currently in use

The following table provides an overview of all the statistical reports currently in force.

| Report | Name |
|-----------|--|
| S 2.16 L1 | S0216_L1_yyyymm_Rrrrrrrr_Ddddddddd_yyyymmdd_nnn |
| S 2.17 L1 | S0217_L1_yyyymm_Rrrrrrrr_Ddddddddd_yyyymmdd_nnn |
| TPTIBS L1 | TPTIBS_L1_yyyymm_Rrrrrrrr_Ddddddddd_yyyymmdd.nnn |

Example:

S0216_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 company with the identification number RCS B3524 for the period of June 2014.

2.3 Means of transmission

The BCL accepts the use of the current electronic transmission channels offered by Sofie (SIX Payment Services (Europe) S.A., CETREL Securities) and e-file (Bourse de Luxembourg, Fundsquare).

However, the BCL is willing to accept any new secure transmission channel that is accepted by both, the BCL and the reporting agents.

3 XML schemes for statistical reports

The XML schemes 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.

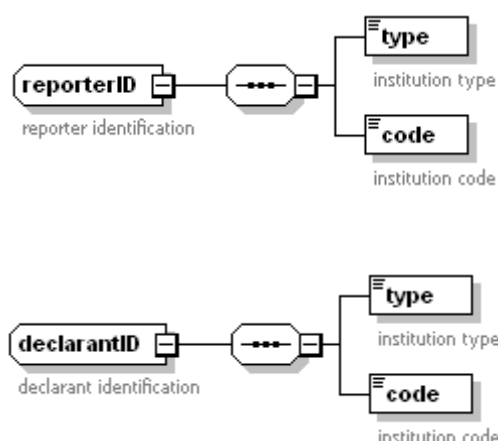
The data to be reported must satisfy the general checks of the format or the pertaining to a code list.

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 | <i>In the filename</i> |
|-------------|---|-------------------------------|
| 01 | Number allocated by the CSSF to other entities | <i>1</i> |
| 05 | Identification number allocated by the BCL | <i>5</i> |
| 06 | Number allocated by the BCL to non-resident entities | <i>6</i> |
| 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> |
| 40 | Number allocated by the CSSF to alternative investment fund managers | <i>A</i> |