



# UCI notification in accordance with Circular CSSF 24/856

Practical and technical  
guidance

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## Practical and technical guidance

### Update information

Date	Version	Changes
01/01/2025	1.0	Initial version

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# 1. Glossary and objectives

## 1.1. Glossary

Notion	Definition
<b>Bucket</b>	A bucket is a container for objects. S3 stores data as objects within buckets. An object is a file and any metadata that describes the file. Each entity manages its own separate buckets to be used for each report type.
<b>IT Expert</b>	The "IT Expert" is an eDesk specific role that is granted by the "Advanced User" of the entity to the person managing access to the S3 API. A person with this role is responsible for creating, viewing and revoking access keys.
<b>S3</b>	S3 – or "simple storage service" – is the object storage protocol (through a web service interface) used by the CSSF for the file exchange. In this context, S3 simply refers to the protocol for managing object storage and does not rely on any services provided by commercial cloud providers.

## 1.2. Context

Circular CSSF 24/856 sets out the guidelines to be followed by collective management professionals that operate in Luxembourg in case of errors in the administration or management of undertakings for collective investment subject to the CSSF's supervision (the "UCIs").

More specifically, these guidelines cover errors in the calculation of the net asset value ("NAV") of a UCI, instances of non-compliance with the investment rules applicable to UCIs as well as other errors at UCI level. The specific procedures to be followed for the correction of those instances of errors and non-compliances are laid down in chapter 4, 5 and 6 of the circular.

Any instance of error and non-compliance falling in the scope of the Circular CSSF 24/856 must be notified to the CSSF in accordance with the procedures laid down in chapter 8 of the circular.

The related notifications are to be sent to the CSSF via the specific notification form provided for by the CSSF. The current "Practical and technical guidance book" provides all the details in relation to the use of the specific notification form which is embedded in the e-desk/S3 platforms, and in relation to the electronic transmission and reporting to the CSSF.

## 1.3. Objectives

The general objective of this document is to provide practical and technical information on the UCI notification in accordance with Circular CSSF 24/856.

The first part of the document aims at providing information to applicants on the scope of UCI notifications and outlines the CSSF expectations on the manner in which the data fields need to be completed before being submitted to the CSSF.

The second part of the document aims at providing technical details to applicants on for submitting a notification.

## 2. Scope

### 2.1. What types of notifications?

- NAV calculation errors at UCI level
- Non-compliance with investment rules at UCI level
- Other errors - Incorrect application of swing pricing / other anti-dilution tool
- Other errors - Non-compliant payment of costs/fees at UCI level
- Other errors - Incorrect application of cut-off rules
- Other errors - Investment allocation errors

### 2.2. Which funds are covered by these notifications?

The Funds covered by these notifications are the following:

- UCITS;
- UCIs Part II;
- SIFs;
- SICARs.

As a consequence, the scope of application, as laid down in chapter 2.1. of Circular 24/856, includes:

- UCITS, UCIs Part II or SIFs which are MMFs;
- UCIs Part II, SIFs or SICARs which are ELTIFs, EuVECAs or EuSEFs.

In addition Luxembourg MMF'S, ELTIF's, EuVECAs or EuSEFs which are not UCITS, UCIs Part II or SIFs for which the CSSF is the competent authority pursuant to the relevant sectorial law as laid down in chapter 2.1 of the circular are included as well in the scope of the notifications.

For more details, please refer to CSSF circular 24/856 section 2.1 Scope of application for additional details.

### 2.3. Who must submit a notification?

The organisational arrangements in place at the UCI and at the IFM, where applicable, must include the modalities for the notification of errors/instances of non-compliance to the CSSF. Those organisational arrangements must also define who is authorised by the UCI/IFM to submit a notification to the CSSF.

In general, authorised persons may be the UCI, the IFM, a delegate mandated by the UCI or the IFM, or the UCI administrator as defined in chapter 1 of the circular.

## **2.4. When does an applicant have to provide a notification?**

The CSSF expects the corrective actions relating to any error/non-compliance within the scope of this Circular (including the payments necessary to correct the loss suffered) to be carried out as soon as possible with a view to ensuring the interests of UCIs/investors are safeguarded.

Based on the above, for an error/non-compliance which does not entail the payment of compensation to investors, the deadline for notification is 4 to 8 weeks at the latest after the date on which the error/non-compliance has been detected. More complex errors/instances of non-compliance which imply compensation to a great number of investors in different jurisdictions must be reported to the CSSF within the above deadlines, without mandatorily including the date the investors are compensated.

This date may be provided to the CSSF at a later stage by filling in the respective fields and by converting the form from a pre-notification into a complete notification.

## **3. Practical guidance**

### **3.1. Information to be transmitted for "NAV calculation errors at UCI level"**

Please refer to Annex I.

### **3.2. Information to be transmitted for "Non-compliance with investment rules at UCI level"**

Please refer to Annex II.

### **3.3. Information to be transmitted for "Other errors - Incorrect application of swing pricing / other anti-dilution tool"**

Please refer to Annex III.

### **3.4. Information to be transmitted for "Other errors - Non-compliant payment of costs/fees at UCI level"**

Please refer to Annex IV.

### **3.5. Information to be transmitted for "Other errors - Incorrect application of cut-off rules"**

Please refer to Annex V.

### 3.6. Information to be transmitted for “Other errors - Investment allocation errors”

Please refer to Annex VI.

## 4. Technical guidance

The submission of a UCI notification is possible through two different channels:

- via S3 system by using a structured exchange file
- via an online form available on the eDesk platform

When a notification is submitted and accepted via the S3 system, it will be available from the eDesk platform to ensure follow-up between the applicant and the CSSF.

### 4.1. S3 system reporting technical specifications

Method of transmitting reports via Application Programming Interface can be found on our website following the [link](#).

On the edesk IT management console, the “IT Expert” must create a bucket “**UCI notification in accordance with Circular CSSF 24/856**”.

#### 4.1.1. Reporting file

##### 4.1.1.1. Reporting format

The data concerning UCI notification shall be reported in the JSON (JavaScript Object Notation) format.

The JSON report concerns one specific UCI and contains data for one sub-fund of that UCI. Reported data depend on the notification type and are described in the JSON schema.

The JSON report must be compressed in a ZIP format. In addition to the JSON report, the ZIP archive must contain **one** Excel file corresponding to the impact calculation sheet (mandatory only for complete notification) and possibly other PDF files if necessary.

The schema concerning the data of the UCI notification is available at:

[UCI notification JSON schema](#)

Depending on the type of notification, the information contained in the following sections (identified by technical attributes) of the JSON schema must be transmitted:

Type of notification	Section (technical attribute)
NAV calculation errors at UCI level	navCalculationError



Non-compliance with investment rules at UCI level	investmentBreach
Other errors - Incorrect application of swing pricing / other anti-dilution tool	swingPricing
Other errors - Non-compliant payment of costs/fees at UCI level	costsFees
Other errors - Incorrect application of cut-off rules	cutOffRules
Other errors - Investment allocation errors	investmentAllocation

#### 4.1.1.2. Submission process

The ZIP file MUST be uploaded to the "submission" folder in S3. No upload is allowed into other folders (e.g. "feedback" folder is only dedicated to CSSF feedbacks).

#### 4.1.1.3. ZIP technical specifications

Reporting file must be transmitted via a compressed .zip format containing one single .json file and optional .pdf files.

Here are the specifications for zip archive:

Compression algorithm	RFC 1951 (DEFLATE Compressed Data Format Specification version 1.3)
Multi-volume archives (multi-part zipfile)	No
Maximum size of a file in the archive	2 Gigabytes
Codepage	UTF-8

The responsibility of the bucket is to grant access to our system. It is not intended for long term storage. Regular cleaning might be performed by the CSSF.

#### 4.1.1.4. Naming conventions

##### 4.1.1.4.1. ZIP file

The mandatory file naming convention for .zip files is specified below.

Format: NOTUCI-ENNNNNNNN-TTT-CCCCCCCC-UUID.ext

Code	Meaning	Structure	Authorised value
<b>NOTUCI</b>	Reporting type	Char(4)	'NOTUCI' (constant)
-	Separator	Char(1)	'-' (constant)
<b>E</b>	Entity type	Char(1)	'O' or 'K' or 'V' (depending on the entity type)
<b>NNNNNNNN</b>	Identifier of entity	Number (8)	00000001...99999999 (CSSF code of the entity)
-	Separator	Char(1)	'-' (constant)
<b>TTT</b>	Type of notification	Char(3)	Type of notification: <ul style="list-style-type: none"> <li>- NAV: NAV calculation errors at UCI level</li> <li>- BRE: Non-compliance with investment rules at UCI level</li> <li>- OSP: Other errors - Incorrect application of Swing Pricing / other anti-dilution tool</li> <li>- OCF: Other errors - Non-compliant payment of costs/fees at UCI level</li> <li>- OCO: Other errors - Incorrect application of cut-off rules</li> <li>- OIA: Other errors - Investment allocation errors</li> </ul>
-	Separator	Char(1)	'-' (constant)
<b>CCCCCCCC</b>	Identifier of sub-fund	Number (8)	00000001...99999999 for umbrella fund 00000000 for standalone fund
<b>UUID</b>	Unique identifier (ReportUid)	UUID format	<a href="#">Unique identifier following the rfc 4122 norm</a>
<b>.ext</b>	Extension	Char(5)	.zip (constant)

### **UUID specifications**

The **UUID** is necessary to uniquely identify a report concerning a fund/pension fund. It is also used to prevent a file from being processed several times and to allow the CSSF to share a processing order of files concerning a same UCI/IORP.

A ZIP file with the same UUID as another ZIP file concerning the same UCI will be rejected with the error NOTUCI007 (cf. chapter 4.1.2.2.3).

The expected format of an UUID is:

XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX

where each X data can have a value from 0 to 9 or from a to f (hexadecimal authorised characters).

You can find more information about the UUID on: [Universally Unique Identifier \(UUID\)](#)

#### 4.1.1.4.2. JSON report

No specific naming convention will apply for the JSON report included in the zip file, but it is recommended to use report.json.

#### 4.1.1.4.3. Impact calculation sheet

The following naming convention apply for impact calculation sheet you must add to your archive (mandatory only for complete notification). Only one file is expected in the archive. The file must be in Excel format (xlsx).

Format: IMPACT\_CALCULATION\_SHEET.xlsx

#### 4.1.1.4.4. PDF file

You can add any other files to PDF format only if needed. No specific naming convention is required for these files.

Example:

Archive	NOTUCI-O0000xxxx-NAV-00000001-41c13c08-ef59-4183-870f-80d7a00c54e8.zip
JSON report	report.json
Impact calculation sheet	IMPACT_CALCULATION_SHEET.xlsx
PDF file	Additional information.pdf

#### 4.1.2. CSSF feedback file

It is up to the submitter to monitor transmission correctness.

A feedback file in JSON format is systematically generated for each file transmitted and made available in the "feedback" folder.

The schema concerning the data of the generated feedback is available at:

[CSSF feedback JSON schema](#)

Please ensure that you have received a feedback file for the last file sent before submitting a new file concerning a same sub-fund for the same notification type. Feedback generation could take some time. If you do not receive a response within one working day, please contact our dedicated support team (see chapter 5).

#### 4.1.2.1. Naming convention

Feedbacks from the CSSF are received in the “feedback” folder of the S3 transfer client.

Format: SourceFileName\_FEEDBACK\_TrackingCode.json

Code	Meaning	Structure	Authorised value
<b>SourceFileName</b>	Reporting entity	Char(N)	Submitted file name - Refer to the ZIP File name structure in section 4.1.1
_	Separator	Char(1)	'_' (constant)
<b>FEEDBACK</b>	File type	Char(8)	FEEDBACK (constant)
<b>TrackingCode</b>	Unique identifier	Char(16)	Unique identifier created by the CSSF system after file submission NOTUCIYYYYMMDDXXXXXX where: YYYYMMDD: year, month and day of submission XXXXXX: daily increment
_	Separator	Char(1)	'_' (constant)
<b>.ext</b>	Extension	Char(5)	.json (constant)

#### 4.1.2.2. File content

A feedback file contains several information:

- A status at the report level;
- ReportUids recently processed;
- Feedback messages.

##### 4.1.2.2.1. Report status

The report status can have two different values:

- REJECTED when the report is rejected. That is the case, either when the archive is not technically compliant, or when data concerned by the notification are rejected.
- ACCEPTED when the archive is technically compliant and data concerned by the notification have been correctly reported.

#### 4.1.2.2.2. ReportUids recently processed

A notification submitted and accepted by the CSSF via the S3 channel cannot be modified via a new submission via the S3 channel. This can only be modified via eDesk under certain conditions.

The feedback file lists the unique identifiers (reportUid) of the last reports concerning the fund in the CSSF processing order (most recent notification at the top of the list).

#### 4.1.2.2.3. Feedback messages

If a notification has the REJECTED status, the possible errors are listed in the table below with the severity "ERROR". Common errors for all types of notifications have the code NOTUCIXXX. Errors specific to each type of notification have a specific code by type of notification (NAVXXX, BREXXX, OSPXXX, OCFXXX, OCOXXX and OIAXXX)

If a notification has the ACCEPTED status, a feedback message with the "NOTUCI000" code is indicated.

#### Common feedback messages

Code	Message	Severity
<b>NOTUCI000</b>	The notification of the sub-fund has been accepted by the CSSF	INFO
<b>NOTUCI001</b>	The archive is corrupted	ERROR
<b>NOTUCI002</b>	The archive name is invalid. The expected naming convention must follow the regex: NOTUCI-(?<entityCssfCode>[OK]\\d{8})-(?<notificationType>NAV BRE OSP OCF OCO OIA)-(?<subfundCssfCode>[0-9]{8})-(?<reportUid>[0-9a-f]{8}-[0-9a-f]{4}-[0-9a-f]{4}-[0-9a-f]{4}-[0-9a-f]{12}).zip	ERROR
<b>NOTUCI003</b>	The archive size cannot exceed 20 MB	ERROR
<b>NOTUCI004</b>	The submitter is not authorized to transmit the archive for this entity	ERROR
<b>NOTUCI005</b>	The sub-fund defined in the archive name doesn't exist	ERROR
<b>NOTUCI006</b>	The archive with reportUid "reportUid" has already been received for this entity	ERROR
<b>NOTUCI007</b>	The archive must contain a single JSON file	ERROR
<b>NOTUCI008</b>	JSON file does not respect JSON Schema	ERROR
<b>NOTUCI009</b>	The field "fieldname" is required due to field value [field: value]	ERROR
<b>NOTUCI010</b>	Due to the condition <fieldname1:value>, the field <fieldname2> value must not be provided	ERROR
<b>NOTUCI011</b>	The impact calculation sheet is mandatory. The expected naming convention must follow the regex: IMPACT_CALCULATION_SHEET.xlsx	ERROR
<b>NOTUCI012</b>	Only PDF format is expected. <filename>	ERROR

Code	Message	Severity
<b>NOTUCI013</b>	Number of files into the archive cannot exceed 500 files	ERROR
<b>NOTUCI014</b>	The contact person email address doesn't correspond to an user of the eDesk entity corresponding to the notifying entity defined	ERROR

**Specific feedback messages for "NAV calculation errors at UCI level"**

Code	Message	Severity
<b>NAV001</b>	"Detection date of the NAV calculation error" must be less than or equal to the reception date	ERROR
<b>NAV002</b>	"Period of the NAV calculation error - Start Date" must be less than or equal to the reception date	ERROR
<b>NAV003</b>	"Period of the NAV calculation error - End Date" must be greater than or equal to "Period of the NAV calculation error - Start Date"	ERROR
<b>NAV004</b>	"Period of the significant impact - End Date" must be greater than or equal to "Period of the significant impact - Start Date"	ERROR
<b>NAV005</b>	"Sub-fund payment date" must be greater than or equal to "Detection date of the NAV calculation error"	ERROR
<b>NAV006</b>	"Investors payment date" must be greater than or equal to "Detection date of the NAV calculation error"	ERROR
<b>NAV007</b>	"Sub-fund payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
<b>NAV008</b>	"Investors payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
<b>NAV009</b>	"Sub-fund payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR
<b>NAV010</b>	"Investors payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR

**Specific feedback messages for "Non-compliance with investment rules at UCI level"**

Code	Message	Severity
<b>BRE001</b>	"Detection date of the non-compliance with investment rules" must be less than or equal to the reception date	ERROR
<b>BRE002</b>	"Period of the non-compliance with investment rules - Start Date" must be less than or equal to the reception date	ERROR

Code	Message	Severity
<b>BRE003</b>	"Period of the non-compliance with investment rules - End Date" must be greater than or equal to "Period of the non-compliance with investment rules - Start Date"	ERROR
<b>BRE004</b>	"Period of the significant impact - End Date" must be greater than or equal to "Period of the significant impact - Start Date"	ERROR
<b>BRE005</b>	"Sub-fund payment date" must be greater than or equal to "Detection date of the non-compliance with investment rules"	ERROR
<b>BRE006</b>	"Investors payment date" must be greater than or equal to "Detection date of the non-compliance with investment rules"	ERROR
<b>BRE007</b>	"Sub-fund payment date" must be greater than or equal to "Period of the non-compliance with investment rules - End Date"	ERROR
<b>BRE008</b>	"Investors payment date" must be greater than or equal to "Period of the non-compliance with investment rules - End Date"	ERROR
<b>BRE009</b>	"Sub-fund payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR
<b>BRE010</b>	"Investors payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR
<b>BRE011</b>	"Period of the NAV calculation error - End Date" must be greater than or equal to "Period of the NAV calculation error - Start Date"	ERROR
<b>BRE012</b>	"Sub-fund payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
<b>BRE013</b>	"Investors payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR

**Specific feedback messages for "Other errors - Incorrect application of Swing Pricing / other anti-dilution tool"**

Code	Message	Severity
<b>OSP001</b>	"Detection date of the incorrect application of swing pricing / other anti-dilution tool" must be less than or equal to the reception date	ERROR
<b>OSP002</b>	"Period of the incorrect application of swing pricing / other anti-dilution tool - Start Date" must be less than or equal to the reception date	ERROR
<b>OSP003</b>	"Period of the incorrect application of swing pricing / other anti-dilution tool - Start Date" must be greater than or equal to "Period of the incorrect application of swing pricing / other anti-dilution tool - End Date"	ERROR

Code	Message	Severity
OSP004	"Period of the significant impact - End Date" must be greater than or equal to "Period of the significant impact - Start Date"	ERROR
OSP005	"Sub-fund payment date" must be greater than or equal to "Detection date of the incorrect application of swing pricing / other anti-dilution tool"	ERROR
OSP006	"Investors payment date" must be greater than or equal to "Detection date of the incorrect application of swing pricing / other anti-dilution tool"	ERROR
OSP007	"Sub-fund payment date" must be greater than or equal to " Period of the incorrect application of swing pricing / other anti-dilution tool - End Date"	ERROR
OSP008	"Investors payment date" must be greater than or equal to "Period of the incorrect application of swing pricing / other anti-dilution tool - End Date"	ERROR
OSP009	"Sub-fund payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR
OSP010	"Investors payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR
OSP011	"Period of the NAV calculation error - End Date" must be greater than or equal to "Period of the NAV calculation error - Start Date"	ERROR
OSP012	"Sub-fund payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
OSP013	"Investors payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR

**Specific feedback messages for "Other errors - Non-compliant payment of costs/fees at UCI level"**

Code	Message	Severity
OCF001	"Detection date of the non-compliant payment of costs/fees at UCI level" must be less than or equal to the reception date	ERROR
OCF002	"Period of the non-compliant payment of costs/fees at UCI level - Start Date" must be less than or equal to the reception date	ERROR
OCF003	"Period of the non-compliant payment of costs/fees at UCI level - End Date" must be greater than or equal to "Period of the non-compliant payment of costs/fees at UCI level - Start Date"	ERROR
OCF004	"Period of the NAV calculation error - End Date" must be greater than or equal to "Period of the NAV calculation error - Start Date"	ERROR



Code	Message	Severity
OCF005	"Sub-fund payment date" must be greater than or equal to "Detection date of the non-compliant payment of costs/fees at UCI level"	ERROR
OCF006	"Investors payment date" must be greater than or equal to "Detection date of the non-compliant payment of costs/fees at UCI level"	ERROR
OCF007	"Sub-fund payment date" must be greater than or equal to "Period of the non-compliant payment of costs/fees at UCI level - End Date"	ERROR
OCF008	"Investors payment date" must be greater than or equal to "Period of the non-compliant payment of costs/fees at UCI level - End Date"	ERROR
OCF009	"Sub-fund payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
OCF010	"Investors payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
OCF011	"Period of the significant impact - End Date" must be greater than or equal to "Period of the significant impact - Start Date"	ERROR
OCF012	"Sub-fund payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR
OCF013	"Investors payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR

**Specific feedback messages for "Other errors - Incorrect application of cut-off rules"**

Code	Message	Severity
OCO001	"Detection date of the incorrect application of cut-off rules" must be less than or equal to the reception date	ERROR
OCO002	"Period of the incorrect application of cut-off rules- Start Date" must be less than or equal to the reception date	ERROR
OCO003	"Period of the incorrect application of cut-off rules - End Date" must be greater than or equal to "Period of the incorrect application of cut-off rules- Start Date"	ERROR
OCO004	"Sub-fund payment date" must be greater than or equal to "Detection date of the incorrect application of cut-off rules"	ERROR
OCO005	"Investors payment date" must be greater than or equal to "Detection date of the incorrect application of cut-off rules"	ERROR
OCO006	"Sub-fund payment date" must be greater than or equal to "Period of the incorrect application of cut-off rules- End Date"	ERROR

Code	Message	Severity
<b>OCO007</b>	"Investors payment date" must be greater than or equal to "Period of the incorrect application of cut-off rules- End Date"	ERROR
<b>OCO008</b>	"Period of the NAV calculation error - End Date" must be greater than or equal to "Period of the NAV calculation error - Start Date"	ERROR
<b>OCO009</b>	"Sub-fund payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
<b>OCO010</b>	"Investors payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
<b>OCO011</b>	"Period of the significant impact - End Date" must be greater than or equal to "Period of the significant impact - Start Date"	ERROR
<b>OCO012</b>	"Sub-fund payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR
<b>OCO013</b>	"Investors payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR

**Specific feedback messages for "Other errors - Investment allocation errors"**

Code	Message	Severity
<b>OIA001</b>	"Detection date of the investment allocation error" must be less than or equal to the reception date	ERROR
<b>OIA002</b>	"Period of the investment allocation error - Start Date" must be less than or equal to the reception date	ERROR
<b>OIA003</b>	"Period of the investment allocation error - End Date" must be greater than or equal to "Period of the investment allocation error - Start Date"	ERROR
<b>OIA004</b>	"Period of the significant impact - End Date" must be greater than or equal to "Period of the significant impact - Start Date"	ERROR
<b>OIA005</b>	"Sub-fund payment date" must be greater than or equal to "Detection date of the investment allocation error"	ERROR
<b>OIA006</b>	"Investors payment date" must be greater than or equal to "Detection date of the investment allocation error"	ERROR
<b>OIA007</b>	"Sub-fund payment date" must be greater than or equal to "Period of the investment allocation error - End Date"	ERROR
<b>OIA008</b>	"Investors payment date" must be greater than or equal to "Period of the investment allocation error - End Date"	ERROR
<b>OIA009</b>	"Sub-fund payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR

Code	Message	Severity
OIA010	"Investors payment date" must be greater than or equal to "Period of the significant impact - End Date"	ERROR
OIA011	"Period of the NAV calculation error - End Date" must be greater than or equal to "Period of the NAV calculation error - Start Date"	ERROR
OIA012	"Sub-fund payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR
OIA013	"Investors payment date" must be greater than or equal to "Period of the NAV calculation error - End Date"	ERROR

## 4.2. eDesk online form

An online form is available on the eDesk platform via [UCI notification in accordance with Circular CSSF 24/856 module](https://edesk.apps.cssf.lu/notuci/edesk-notuci/dashboard) (https://edesk.apps.cssf.lu/notuci/edesk-notuci/dashboard).

### 4.2.1. Authentication

The person in charge of submitting the notification is required to have an eDesk account (available with LuxTrust authentication) and must be linked to the concerned entity (see chapter 2.3).

### 4.2.2. Homepage

The home page is divided into two parts:

- Filters on the different statuses of your notifications.
- The creation of a pre or complete notification depending on the type of notification.

Things to know about statuses:

- **Draft:** You have initiated a notification, but it is not yet submitted to the CSSF. You can save it and come back later to complete and submit it.
- **Submitted:** Your notification is submitted to the CSSF. No action is required on your part.
- **Pre-notification to be finalized:** Following the submission of your pre-notification, the CSSF has taken note of your explanations that not all the required elements are available to completely fill out a complete notification. You must now finalize your pre-notification by completing the complete notification form from the same notification.
- **Pre-notification refused:** Following the submission of your pre-notification, the CSSF concludes that the justification provided does not qualify for the use of the pre-notification option. In this case you must create a new complete notification from the homepage.
- **Actions required:** Following the submission of your complete notification, the CSSF may ask you for additional information via an exchange of comments (functionality under development) and/or ask you to transmit a special audit report.

From each filter you can consult the list of corresponding notifications by clicking on the "Consult" button. You can view all your notifications, regardless of status, via the "All notifications" filter (see chapter 4.2.4).

### **4.2.3. Creation and first submission of a notification**

When creating a new notification from the homepage, you must select the fund and the sub-fund concerned. For a standalone fund please select sub-fund 0.

Please note that the list of funds is filtered according to the nature of the link between your company/entity and the fund.

The scope of the funds that may be the subject of a notification is not filtered in this list.

Then you must complete the form corresponding to the type of notification selected depending on whether it is a pre or complete notification ("form" section).

For a complete notification, you must submit the impact calculation sheet in Excel format ("Documents" section).

For a pre or complete notification, you can add other documents in PDF format if necessary ("Documents section").

If your notification contains errors (in the form or documents) you will be informed directly from the relevant sections.

Finally, from the "Submission of the notification" section you will be able to submit your notification by clicking on the "Submit" button. If the notification still contains errors, you will be informed and will have to correct them before submitting.

A draft notification can be deleted by clicking the "Delete Draft" button.

### **4.2.4. Notifications list**

The dashboard lists the notifications visible to the connected company/entity.

Depending on the nature of the link between your company/entity and the fund, you are authorized to:

- As fund
  - Create a notification related to the fund.
  - Consult all notifications submitted (all statuses except "Draft") to the CSSF related to the fund (whoever has submitted the notification).
  - Cannot edit a notification submitted by another company/entity.
- As IFM
  - Create a notification related to the fund.
  - Consult all notifications submitted (all statuses except "Draft") to the CSSF related to the fund (whoever has submitted the notification).
  - Cannot edit a notification submitted by another company/entity.
  - In case of change of IFM for a fund:
    - The former IFM no longer has access to its notifications related to this fund.
    - The newly appointed IFM does not have access to the notifications submitted by the former IFM related to this fund.

- As UCI administrator
  - Create a notification related to the fund.
  - Consult all my notifications submitted to the CSSF related to the fund.
  - Cannot edit a notification submitted by another company/entity.
  - In case of change of UCI administrator for a fund:
    - The former UCI administrator no longer has access to its notifications related to this fund.
    - The newly appointed UCI administrator does not have access to the notifications submitted by the former UCI administrator related to this fund.

#### **4.2.5. Download the notification form**

It is possible to export the data from the notification form to PDF format regardless of the status of the notification by clicking on the "Download the notification form" button from the detail of the notification.

#### **4.2.6. Submit a complete notification after the CSSF has accepted the pre-notification**

Following the submission of your pre-notification ("Submitted" status), the CSSF has taken note of your explanations that not all the required elements are available to completely fill out a complete notification ("Pre-notification to be finalized" status).

You must now finalize your pre-notification by completing the complete notification form from the same notification.

Finally, you can send your new version of the notification to the CSSF by clicking on the button "Submit all my modifications to the CSSF".

#### **4.2.7. Submit the special audit report**

Following the submission of your complete notification and under certain conditions defined in CSSF Circular 24/856, you must submit to the CSSF a special audit report ("Actions required" status).

From the notification detail, a new version has been created. You will be able to file the special audit report from the "Documents" menu of this new version.

Finally, you can submit your new version of the notification to the CSSF by clicking on the button "Submit all my modifications to the CSSF".

## **5. Contact information**

If you have any questions, please contact [edesk@cssf.lu](mailto:edesk@cssf.lu).

To facilitate the processing of your request, please provide the following information:

- CSSF code and name of the entity;
- CSSF code and name of the UCI;
- Type of notification;

- Tracking code of the notification.

## 6. Annex I – Synopsis on information to be transmitted for “NAV calculation errors at UCI level”

\* **CSSF guidance:** Please refer to annex VI for the codes to be used in the notification for closed questions (Yes/No answers, or answers referring to a predefined list)

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Contact person email address	contactPersonEmail	The contact person must have an eDesk account linked to the notifying entity on eDesk. This person will receive the email in case of exchange of comments.
<b>1. General information</b>		
Complete or pre-notification	navPreOrCompNotification	<p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Complete notification</li> <li>- Pre-notification</li> </ul> <p>The CSSF expects a complete notification to be submitted, in principle, within 4 to 8 weeks of the detection of the incident.</p> <p>The pre-notification option can only be used on an exceptional basis in duly justified cases where the calculations and compensation processes necessary to correct the NAV calculation errors are particularly complex and time-consuming and thus do not allow</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		entities to provide the CSSF, within 4 to 8 weeks, with a complete notification.
Please describe the NAV calculation error at UCI level AND justify why a pre-notification is necessary	navPreNotificationDescription	<p>Only if the answer to the question "navPreOrCompNotification" is "Pre-notification".</p> <p>Please describe the typology, duration, and estimated impact of the NAV calculation error at UCI level that occurred and provide all available details. Then, please provide a detailed justification allowing the CSSF to have a clear and thorough understanding of why the correction process of the investment allocation error cannot be finalized within 4 to 8 weeks and why the Fund is unable to submit a complete notification form with all the fields duly filled out.</p>
Please indicate the type of UCI	navTypeUci	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- UCITS or UCI PART II or SIF subject to the MMF Regulation</li> <li>- Bond UCITS</li> <li>- Mixed UCITS</li> <li>- Equity UCITS or "other assets" UCITS</li> <li>- Bond - UCIs Part II (for retail investors)</li> <li>- Mixed - UCIs Part II (for retail investors)</li> <li>- Equity - UCIs Part II (for retail investors)</li> </ul>



Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- Other assets - UCIs Part II or ELTIF (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors) applying different threshold based on derogation procedure</li> <li>- UCIs Part II, ELTIF, SIFs, SICARS, EuVECA and EuSEF (for well-informed or professional investors)</li> </ul>
Tolerance threshold applied (in %)	navToleranceThreshold	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>The percentage must be between 0% and 5%</p>
<b>2. Details relating to the NAV calculation error</b>		
Detection date of the NAV calculation error	navDetectionDate	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>This date must be less than or equal to the reception date of the notification.</p>
Period of the NAV calculation error - Start Date	navPeriodStartDate	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>This date must be less than or equal to the reception date of the notification.</p>
Period of the NAV calculation error - End Date	navPeriodEndDate	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		This date must be greater than or equal to "navPeriodStartDate".
Period of the significant impact - Start Date	navPeriodImpactStartDate	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>
Period of the significant impact - End Date	navPeriodImpactEndDate	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>This date must be greater than or equal to "navPeriodImpactStartDate".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Nature of the NAV calculation error	navNature	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Securities (except derivatives) valuation error</li> <li>- Accounting error</li> <li>- Fees and accruals error</li> <li>- Corporate action error</li> <li>- Derivatives valuation error</li> <li>- Other error (please describe further in the field "Description and cause of the NAV error")</li> </ul>
Description and cause of the NAV calculation error	navDescription	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of the circumstances and reasons leading to the NAV calculation error.</p>
Concrete corrective measures/actions decided at the level of fund's organisation and control environment in order to avoid recurrence of the same kind of NAV calculation error	navMesuresActionsDecided	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of correction operations at the</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		level of the Fund's organisation and control procedures/processes in order to avoid recurrence of comparable NAV calculation errors.
Impact of the NAV calculation error	navImpact	<p>Only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- With impact</li> <li>- Without impact</li> </ul> <p>In case no subscription or redemption requests have been processed during the error period, please select "without impact"</p>
Please provide a clear justification on the reason why the NAV calculation error is to be considered as without impact	navJustificationWithoutImpact	Only if the answer to the question "navImpact" is "Without impact".
Amount to be indemnified to the sub-fund in EUR (Please reference "0" if no compensation is required.)	navAmountIndemnifiedSubfund	<p>Only if the answer to the question "navImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the "REA" (réviseur d'entreprises agréé (approved statutory auditor)) must only be submitted to the CSSF for</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.
Amount to be indemnified in cash to the investors in EUR (Please reference "0" if no compensation is required.)	navAmountIndemnifiedCashInvestors	<p>Only if the answer to the question "navImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified by allocation of new units to the investors in EUR (Please reference "0" if no compensation is required.)	navAmountIndemnifiedUnitsInvestors	<p>Only if the answer to the question "navImpact" is "With impact".</p> <p>For Investors who received a corresponding number of shares as indemnification, please indicate the amount in EUR</p>
Please indicate if indemnification amount for a single investor exceeds EUR 5,000	navSingleInvestor	Only if the answer to the question "navAmountIndemnifiedCashInvestors" is greater than 5000 or "navAmountIndemnifiedUnitsInvestors" is greater than 5000.

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please select the appropriate choice from the below list: <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Maximum impact in % of the NAV	navMaxImpactNav	Only if the answer to the question "navImpact" is "With impact".  Please indicate for the NAV calculation error the highest percentage of the impact during the period
"De minimis" amount applied	navDeMinimisAmount	Only if the answer to the question "navAmountIndemnifiedCashInvestors" is greater than 0 or "navAmountIndemnifiedUnitsInvestors" is greater than 0.  Please select the appropriate choice from the below list: <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Please indicate the threshold level of the "De minimis" fixed in the internal procedures	navDeMinimisThreshold	Only if the answer to the question "navDeMinimisAmount" is "Yes".
Please indicate the currency	navCurrency	Only if the answer to the question "navDeMinimisAmount" is "Yes".  Please select the appropriate choice from the below list: see Annex VII

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
<b>3. Details concerning the indemnification procedure</b>		
Date of booking / recording of the provision (in the accounting of the UCI)	navBookingDate	Optional only if the answer to the question "navImpact" is "With impact".  Booking date of the indemnification amounts
Sub-fund payment date	navSubfundPaymentDate	Only if the answer to the question "navImpact" is "With impact" and "navAmountIndemnifiedSubfund" is greater than 0.  This date must be greater than or equal to "navDetectionDate" and "navPeriodEndDate" and "navPeriodImpactEndDate".  If the compensation payments were realized on different days, please indicate in this field, the last payment date.
Investors payment date	navInvestorsPaymentDate	Only if the answer to the question "navAmountIndemnifiedCashInvestors" is greater than 0 or "navAmountIndemnifiedUnitsInvestors" is greater than 0.  This date must be greater than or equal to "navDetectionDate" and "navPeriodEndDate" and "navPeriodImpactEndDate".  If the compensation payments were realized on different days, please indicate in this field, the last payment date.
Total indemnification amount in EUR	navTotalIndemnificationAmount	Only if the answer to the question "navImpact" is "With impact".

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please indicate the sum of all indemnification in EUR (indemnification to the (sub-)fund and/or investors)
Other information / comments concerning the NAV calculation error, impact or indemnification calculation	navOtherInformation	<p>Optional only if the answer to the question "navPreOrCompNotification" is "Complete notification".</p> <p>Please indicate here any other elements of relevance concerning the error as well as any specificities in the correction and impact calculation processes a.o. whether the financial impact has been determined using the compound method or the non-compound method.</p>
Entity(ies) responsible for the payment of the indemnification amount	navEntityResponsibleForPayment	Only if the answer to the question "navImpact" is "With impact".



## 7. Annex II – Synopsis on information to be transmitted for “Non-compliance with investment rules at UCI level”

**\*CSSF guidance:** Please refer to annex VII for the code to be used in the notification for closed questions (Yes/No answers, or answers referring to a predefined list)

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Contact person email address	contactPersonEmail	The contact person must have an eDesk account linked to the notifying entity on eDesk. This person will receive the email in case of exchange of comments.
<b>1. General information</b>		
Complete or pre-notification	brePreOrCompNotification	<p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Complete notification</li> <li>- Pre-notification</li> </ul> <p>The CSSF expects a complete notification to be submitted, in principle, within 4 to 8 weeks of the detection of the incident. The pre-notification option can only be used on an exceptional basis in duly justified cases where the calculations and compensation processes necessary to correct the non-compliances of investment rules are particularly complex and time-consuming and thus do not allow</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		entities to provide the CSSF, within 4 to 8 weeks, with a complete notification.
Please describe the non-compliance with investment rules AND justify why a pre-notification is necessary	brePreNotificationDescription	<p>Only if the answer to the question "brePreOrCompNotification" is "Pre-notification".</p> <p>Please describe the typology, duration, and estimated impact of the non-compliance with investment rules that occurred and provide all available details. Then, please provide a detailed justification allowing the CSSF to have a clear and thorough understanding of why the correction process of the investment allocation error cannot be finalized within 4 to 8 weeks and why the Fund is unable to submit a complete notification form with all the fields duly filled out.</p>
<b>2. Details relating to the non-compliance with investment rules</b>		
Detection date of the non-compliance with investment rules	breDetectionDate	<p>Only if the answer to the question "prePreOrCompNotification" is "Complete notification".</p> <p>This date must be less than or equal to the reception date of the notification.</p>
Period of the non-compliance with investment rules - Start Date	brePeriodStartDate	<p>Only if the answer to the question "prePreOrCompNotification" is "Complete notification".</p> <p>This date must be less than or equal to the reception date of the notification.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<p>Period of the investment breach – please consider the following in relation to the start and end dates:</p> <ul style="list-style-type: none"> <li>- in principle for transactions on securities, financial derivative instruments, the start/end date corresponds to the trade date of the transaction causing /correcting the active non-compliance;</li> <li>- in principle for transactions on cash and related non-compliances of applicable cash limits, the start/end date corresponds to the dates of cash/deposit inflow and outflow (value date - effective entry/exit date of cash on the account);</li> <li>- the end date corresponds to the last day of the active breach.</li> </ul>
<p>Period of the non-compliance with investment rules - End Date</p>	<p>brePeriodEndDate</p>	<p>Only if the answer to the question “prePreOrCompNotification” is “Complete notification”.</p> <p>This date must be greater than or equal to “brePeriodStartDate”.</p> <p>Period of the investment breach – please consider the following in relation to the start and end dates:</p> <ul style="list-style-type: none"> <li>- in principle for transactions on securities, financial derivative instruments, the start/end date corresponds to the trade date of the transaction causing /correcting the active non-compliance;</li> <li>- in principle for transactions on cash and related non-compliances of applicable cash limits, the start/end date corresponds to the dates of</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		cash/deposit inflow and outflow (value date - effective entry/exit date of cash on the account);  - the end date corresponds to the last day of the active breach.
Nature of the non-compliance with investment rules	breNature	Only if the answer to the question "prePreOrCompNotification" is "Complete notification".  Please select the appropriate choice from the below list: <ul style="list-style-type: none"> <li>- Art. 41 (1) L2010 - Eligibility requirements</li> <li>- Art. 41 (2) L2010 - 10% TS/MMI (Trash Ratio)</li> <li>- Art. 41(2)(b) L2010 - 20% ancillary liquid assets</li> <li>- Art. 43 (1) L2010 - 10% issuer TS/MMI</li> <li>- Art. 43 (1) L2010 - 20% deposits</li> <li>- Art. 43 (1) L2010 - 5%/10% FDI counterparty risk</li> <li>- Art. 43 (2) L2010 - 5%/10%/40% - issuer TS/MMI</li> <li>- Art. 43 (2) L2010 - 20% combined limit TS/MMI/deposits/FDI</li> <li>- Art. 43 (3) L2010 - 35% TS/MMI</li> <li>- Art. 45 (1) L2010 - 100%/6 issues/30% TS/MMI (above 35%)</li> <li>- Art. 46 (1) L2010 - 20% UCITS/UCI</li> <li>- Art. 48 (2) L2010 - significant influence</li> <li>- Art. 50 (2) L2010 - 10% borrowings on a temporary basis</li> <li>- Art. 52 L2010 - No uncovered sales</li> <li>- SIF - 30% issuer</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- Money Market Fund regulation</li> <li>- ESMA guidelines (Eligibility/Diversification of collateral)</li> <li>- Breach of specific prospectus rules (Other)</li> <li>- Breach of specific prospectus rules (ESG/SFDR related)</li> <li>- Breach of other investment restriction rule (Please describe further in the field "Description and cause of the investment breach")</li> </ul> <p>In presence of simultaneous non-compliances with investment rules caused by the same transaction please indicate all investment breaches in the field "Description and cause of the non-compliance with investment rules"</p>
Description and cause of the non-compliance with investment rules	breDescription	<p>Only if the answer to the question "prePreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of the circumstances and reasons leading to the non-compliance with investment rules.</p>
Concrete measures/actions to correct the non-compliance with investment rules	breMesuresActionsToCorrectError	<p>Only if the answer to the question "prePreOrCompNotification" is "Complete notification".</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of operations having permitted to correct the non-compliance with investment rules.
Concrete corrective measures/actions decided at the level of fund's organisation and control environment in order to avoid recurrence of the same kind of non-compliance with investment rules	breMesuresActionsDecided	<p>Only if the answer to the question "prePreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of correction operations at the level of the Fund's organisation and control procedures/processes in order to avoid recurrence of comparable non-compliances with investment rules.</p>
Impact of the non-compliance with investment rules	breImpact	<p>Only if the answer to the question "prePreOrCompNotification" is "Complete notification".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Loss</li> <li>- Gain</li> <li>- Without impact</li> </ul>
Please provide a clear justification on the reason why the non-compliance with investment rules is to be considered as without impact	breJustificationWithoutImpact	Only if the answer to the question "breImpact" is "Without impact".

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Please indicate the currency of the sub-fund	breCurrencySubfund	<p>Only if the answer to the question "breImpact" is not equals "Without impact".</p> <p>Please select the appropriate choice from the below list: see Annex VII</p>
Amount of the impact expressed in the sub-fund currency	breAmountImpactSubfundCurrency	<p>Only if the answer to the question "breImpact" is not equals "Without impact" and "breCurrencySubfund" is not equals "EUR".</p>
Amount of the impact in EUR	breAmountImpact	<p>Only if the answer to the question "breImpact" is not equals "Without impact".</p> <p>Please provide comprehensive details on the determination of the amount of the impact in the separate impact calculation file.</p> <p>A special audit report by the "REA" (réviseur d'entreprises agréé (approved statutory auditor)) must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Calculation method used for the determination of the impact	breCalculationMethod	<p>Only if the answer to the question "breImpact" is not equals "Without impact".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Economic method</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- Accounting method</li> </ul>
For the economic method, please indicate the comparative benchmark/performance used	breBenchmarkUsed	Only if the answer to the question "breCalculationMethod" is "Economic method".
Method applied	breMethodApplied	<p>Only if the answer to the question "breCalculationMethod" is "Accounting method".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- LIFO</li> <li>- FIFO</li> <li>- Average cost</li> <li>- Other</li> </ul>
Details concerning method applied or other information / comments	breMethodAppliedDetails	<p>Only if the answer to the question "breImpact" is not equals "Without impact".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding</p>
Did the non-compliance with investment rules cause a significant NAV calculation error	breCauseNavCalculationError	<p>Only if the answer to the question "breImpact" is not equals "Without impact".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Yes</li> </ul>



Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- No</li> </ul> <p>For each active non-compliance with the investment rules, it must be verified what impact the non-compliant transactions had on all NAVs that were calculated during the entire period of non-compliance. In the event that during the period of non-compliance, the impact of non-compliant transactions on a given NAV was greater than the applicable tolerance threshold, the resulting NAV calculation error must, in addition, be corrected in accordance with the rules of conduct laid down in Chapter 4 of Circular CSSF 24/856.</p>
Please indicate the type of UCI	breTypeUci	<p>Only if the answer to the question "breCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- UCITS or UCI PART II or SIF subject to the MMF Regulation</li> <li>- Bond UCITS</li> <li>- Mixed UCITS</li> <li>- Equity UCITS or other assets UCITS</li> <li>- Bond - UCIs Part II (for retail investors)</li> <li>- Mixed - UCIs Part II (for retail investors)</li> <li>- Equity - UCIs Part II (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors)</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- Other assets - UCIs Part II or ELTIF (for retail investors) applying different threshold based on derogation procedure</li> <li>- UCIs Part II, ELTIF, SIFs, SICARS, EuVECA and EuSEF (for well-informed or professional investors)</li> </ul>
Tolerance threshold applied (in %)	breToleranceThreshold	<p>Only if the answer to the question "breCauseNavCalculationError" is "Yes".</p> <p>The percentage must be between 0% and 5%</p>
<b>3. Details relating to the subsequent NAV calculation error</b>		
Period of the NAV calculation error - Start Date	breNavPeriodStartDate	Only if the answer to the question "breCauseNavCalculationError" is "Yes".
Period of the NAV calculation error - End Date	breNavPeriodEndDate	Only if the answer to the question "breCauseNavCalculationError" is "Yes".
Period of the significant impact - Start Date	breNavPeriodImpactStartDate	<p>Only if the answer to the question "breCauseNavCalculationError" is "Yes".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		The individual sub-periods with a significant error do not need to be specified individually.
Period of the significant impact - End Date	breNavPeriodImpactEndDate	<p>Only if the answer to the question "breCauseNavCalculationError" is "Yes".</p> <p>This date must be greater than or equal to "breNavPeriodImpactStartDate".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>
Impact of the NAV calculation error	breNavImpact	<p>Only if the answer to the question "breCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- With impact</li> <li>- Without impact</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		In case no subscription or redemption requests have been processed during the error period, please select "without impact"
Please provide a clear justification on the reason why the NAV calculation error is to be considered as without impact	breNavJustificationWithoutImpact	Only if the answer to the question "breNavImpact" is "Without impact".
Amount to be indemnified to the sub-fund in EUR (Please reference "0" if no compensation is required.)	breNavAmountIndemnifiedSubfund	<p>Only if the answer to the question "breNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified in cash to the investors in EUR (Please reference "0" if no compensation is required.)	breNavAmountIndemnifiedCashInvestors	<p>Only if the answer to the question "breNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.
Amount to be indemnified by allocation of new units to the investors in EUR (Please reference "0" if no compensation is required.)	breNavAmountIndemnifiedUnitsInvestors	Only if the answer to the question "breNavImpact" is "With impact". For Investors who received a corresponding number of shares as indemnification, please indicate the amount in EUR
Please indicate if indemnification amount for a single investor exceeds EUR 5,000	breNavSingleInvestor	Only if the answer to the question "breNavAmountIndemnifiedCashInvestors" is greater than 5000 or "breNavAmountIndemnifiedUnitsInvestors" is greater than 5000.  Please select the appropriate choice from the below list:  - Yes - No
Maximum impact in % of the NAV	breNavMaxImpactNav	Only if the answer to the question "breNavImpact" is "With impact".  Please indicate for the NAV calculation error the highest percentage of the impact during the period
"De minimis" amount applied	breNavDeMinimisAmount	Only if the answer to the question "breNavAmountIndemnifiedCashInvestors" is greater than 0 or "breNavAmountIndemnifiedUnitsInvestors" is greater than 0.

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please select the appropriate choice from the below list: <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Please indicate the threshold level of the "De minimis" fixed in the internal procedures	breNavDeMinimisThreshold	Only if the answer to the question "breNavDeMinimisAmount" is "Yes".
Please indicate the currency	breNavCurrency	Only if the answer to the question "breNavDeMinimisAmount" is "Yes". Please select the appropriate choice from the below list: see Annex VII
<b>4. Details concerning the indemnification procedure</b>		
Date of booking / recording of the provision (in the accounting of the UCI)	breBookingDate	Optional only if the answer to the question "breImpact" is "Loss" and "breCauseNavCalculationError" is "Yes".  Booking date of the indemnification amounts
Sub-fund payment date	breSubfundPaymentDate	Only if the answer to the question "breImpact" is "Loss" or "breNavAmountIndemnifiedSubfund" is greater than 0.  This date must be greater than or equal to "breDetectionDate" and "brePeriodEndDate" and "breNavPeriodImpactEndDate".  If the compensation payments were realized on different days, please indicate in this field, the last payment date.

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Investors payment date	breInvestorsPaymentDate	<p>Only if the answer to the question "breNavAmountIndemnifiedCashInvestors" is greater than 0 or "breNavAmountIndemnifiedUnitsInvestors" is greater than 0.</p> <p>This date must be greater than or equal to "breDetectionDate" and "brePeriodEndDate" and "breNavPeriodImpactEndDate".</p> <p>If the compensation payments were realized on different days, please indicate in this field, the last payment date.</p>
Total indemnification amount in EUR	breTotalIndemnificationAmount	<p>Only if the answer to the question "breImpact" is "Loss" or "breNavImpact" is "With impact".</p> <p>Please indicate the sum of all indemnification in EUR (indemnification to the (sub-)fund and/or investors)</p>
Other information / comments concerning the non-compliance with investment rules, impact or indemnification calculation	breNavOtherInformation	<p>Optional only if the answer to the question "prePreOrCompNotification" is "Complete notification".</p> <p>Please indicate here any other elements of relevance concerning the error/non-compliance as well as any specificities in the correction and impact calculation processes a.o. whether the financial impact has been determined using the compound method or the non-compound method.</p>

<b>Information to be provided</b>	<b>Technical attribute to be provided in the JSON file</b>	<b>CSSF guidance*</b>
Entity(ies) responsible for the payment of the indemnification amount	breEntityResponsibleForPayment	Only if the answer to the question "breImpact" is "Loss" or "breNavImpact" is "With impact".



## 8. Annex III – Synopsis on information to be transmitted for “Other errors - Incorrect application of swing pricing / other anti-dilution tool”

**\*CSSF guidance:** Please refer to annex VII for the code to be used in the notification for closed questions (Yes/No answers, or answers referring to a predefined list)

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Contact person email address	contactPersonEmail	The contact person must have an eDesk account linked to the notifying entity on eDesk. This person will receive the email in case of exchange of comments.
<b>1. General information</b>		
Complete or pre-notification	ospPreOrCompNotification	<p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Complete notification</li> <li>- Pre-notification</li> </ul> <p>The CSSF expects a complete notification to be submitted, in principle, within 4 to 8 weeks of the detection of the incident.</p> <p>The pre-notification option can only be used on an exceptional basis in duly justified cases where the calculations and compensation processes necessary to correct the incorrect application of swing pricing / other anti-dilution tool are particularly complex and time-consuming and thus do not allow entities to provide the CSSF, within 4 to 8 weeks, with a complete notification.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Please describe the incorrect application of swing pricing / other anti-dilution tool AND justify why a pre-notification is necessary	ospPreNotificationDescription	<p>Only if the answer to the question "ospPreOrCompNotification" is "Pre-notification".</p> <p>Please describe the typology, duration, and estimated impact of the incorrect application of swing pricing / other anti-dilution tool that occurred and provide all available details. Then, please provide a detailed justification allowing the CSSF to have a clear and thorough understanding of why the correction process of the investment allocation error cannot be finalized within 4 to 8 weeks and why the Fund is unable to submit a complete notification form with all the fields duly filled out.</p>
<b>2. Details relating to the incorrect application of swing pricing / other anti-dilution tool</b>		
Detection date of the incorrect application of swing pricing / other anti-dilution tool	ospDetectionDate	<p>Only if the answer to the question "ospPreOrCompNotification" is "Complete notification".</p> <p>This date must be less than or equal to the reception date of the notification.</p>
Period of the incorrect application of swing pricing / other anti-dilution tool - Start Date	ospPeriodStartDate	<p>Only if the answer to the question "ospPreOrCompNotification" is "Complete notification".</p> <p>This date must be less than or equal to the reception date of the notification.</p>
Period of the incorrect application of swing pricing / other anti-dilution tool - End Date	ospPeriodEndDate	<p>Only if the answer to the question "ospPreOrCompNotification" is "Complete notification".</p> <p>This date must be greater than or equal to "ospPeriodStartDate".</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Please specify the type of incorrect application of swing pricing / other anti-dilution tool	ospSwingFactorError	<p>Only if the answer to the question "ospPreOrCompNotification" is "Complete notification".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Non-application of the swing factor as set for the UCI</li> <li>- Application of a swing factor that exceeds the factor set at the level of the UCI</li> <li>- Application of a swing factor that was insufficient compared to the factor set for the UCI</li> <li>- Other swing pricing error / other anti-dilution tool error</li> </ul> <p>In accordance with points 99 and 100 of CSSF Circular 24/856, this questionnaire applies to:</p> <ul style="list-style-type: none"> <li>- the swing pricing;</li> <li>- the anti-dilution levy;</li> <li>- the liquidity fees in order to reflect the cost of providing liquidity by a UCI;</li> <li>- commissions for the benefit of the UCI that charge investing and/or divesting investors the transaction costs, taxes or other elements, these commissions applying either as lump sum or on an individually calculated basis.</li> </ul>
Description and cause of the incorrect application of swing pricing / other anti-dilution tool	ospDescription	<p>Only if the answer to the question "ospPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of the circumstances and</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		reasons leading to the incorrect application of swing pricing / other anti-dilution tool.
Concrete corrective measures/actions decided at the level of fund's organisation and control environment in order to avoid recurrence of the same kind of the incorrect application of swing pricing / other anti-dilution tool	ospMesuresActionsDecided	<p>Only if the answer to the question "ospPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of correction operations at the level of the Fund's organisation and control procedures/processes in order to avoid recurrence of comparable incorrect application of swing pricing / other anti-dilution tool.</p>
Loss to be indemnified to the sub-fund in EUR (Please reference "0" if no compensation is required.)	ospLossIndemnifiedSubfund	<p>Only if the answer to the question "ospSwingFactorError" is not equal "Application of a swing factor that exceeds the factor set at the level of the UCI"</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the "REA" (réviseur d'entreprises agréé (approved statutory auditor)) must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Did the incorrect application of swing pricing / other anti-dilution tool cause a significant NAV calculation error	ospCauseNavCalculationError	<p>Only if the answer to the question "ospPreOrCompNotification" is "Complete notification".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Yes</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		- No
Please indicate the type of UCI	ospTypeUci	<p>Only if the answer to the question "ospCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- UCITS or UCI PART II or SIF subject to the MMF Regulation</li> <li>- Bond UCITS</li> <li>- Mixed UCITS</li> <li>- Equity UCITS or other assets UCITS</li> <li>- Bond - UCIs Part II (for retail investors)</li> <li>- Mixed - UCIs Part II (for retail investors)</li> <li>- Equity - UCIs Part II (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors) applying different threshold based on derogation procedure</li> <li>- UCIs Part II, ELTIF, SIFs, SICARS, EuVECA and EuSEF (for well-informed or professional investors)</li> </ul>
Tolerance threshold applied (in %)	ospToleranceThreshold	<p>Only if the answer to the question "ospCauseNavCalculationError" is "Yes".</p> <p>The percentage must be between 0% and 5%</p>
<b>3. Details relating to the subsequent NAV calculation error</b>		
Period of the NAV calculation error - Start Date	ospNavPeriodStartDate	Only if the answer to the question "ospCauseNavCalculationError" is "Yes".
Period of the NAV calculation error - End Date	ospNavPeriodEndDate	Only if the answer to the question "ospCauseNavCalculationError" is "Yes".

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Period of the significant impact - Start Date	ospNavPeriodImpactStartDate	<p>Only if the answer to the question "ospCauseNavCalculationError" is "Yes".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>
Period of the significant impact - End Date	ospNavPeriodImpactEndDate	<p>Only if the answer to the question "ospCauseNavCalculationError" is "Yes".</p> <p>This date must be greater than or equal to "ospNavPeriodImpactStartDate".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>
Impact of the NAV calculation error	ospNavImpact	<p>Only if the answer to the question "ospCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- With impact</li> <li>- Without impact</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		In case no subscription or redemption requests have been processed during the error period, please select "without impact"
Please provide a clear justification on the reason why the NAV calculation error is to be considered as without impact	ospNavJustificationWithoutImpact	Only if the answer to the question "ospNavImpact" is "Without impact".
Amount to be indemnified to the sub-fund in EUR (Please reference "0" if no compensation has occurred.)	ospNavAmountIndemnifiedSubfund	<p>Only if the answer to the question "ospNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified in cash to the investors in EUR (Please reference "0" if no compensation is required.)	ospNavAmountIndemnifiedCashInvestors	<p>Only if the answer to the question "ospNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Amount to be indemnified by allocation of new units to the investors in EUR (Please reference "0" if no compensation is required.)	ospNavAmountIndemnifiedUnitsInvestors	Only if the answer to the question "ospNavImpact" is "With impact". For Investors who received a corresponding number of shares as indemnification, please indicate the amount in EUR
Please indicate if indemnification amount for a single investor exceeds EUR 5,000	ospNavSingleInvestor	Only if the answer to the question "ospNavAmountIndemnifiedCashInvestors" is greater than 5000 or "ospNavAmountIndemnifiedUnitsInvestors" is greater than 5000.  Please select the appropriate choice from the below list:  <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Maximum impact in % of the error	ospNavMaxImpact	Only if the answer to the question "ospNavImpact" is "With impact". Please indicate for the NAV calculation error the highest percentage of the impact during the period
De minimis amount applied	ospNavDeMinimisAmount	Only if the answer to the question "ospNavAmountIndemnifiedCashInvestors" is greater than 0 or "ospNavAmountIndemnifiedUnitsInvestors" is greater than 0.  Please select the appropriate choice from the below list:  <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Please indicate the threshold level of the "De minimis" fixed in the internal procedures	ospNavDeMinimisThreshold	Only if the answer to the question "ospNavDeMinimisAmount" is "Yes".
Please indicate the currency	ospNavCurrency	Only if the answer to the question "ospNavDeMinimisAmount" is "Yes".



Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please select the appropriate choice from the below list: see Annex VII
<b>4. Details concerning the indemnification procedure</b>		
Date of booking / recording of the provision (in the accounting)	ospNavBookingDate	Optional only if the answer to the question "ospLossIndemnifiedSubfund" is greater than 0 or "ospNavAmountIndemnifiedSubfund" is greater than 0.  Booking date of the indemnification amounts
Sub-fund payment date	ospNavSubfundPaymentDate	Only if the answer to the question "ospCauseNavCalculationError" is "Yes" and "ospNavAmountIndemnifiedSubfund" is greater than 0.  If the compensation payments were realized on different days, please indicate in this field, the last payment date.
Investors payment date	ospNavInvestorsPaymentDate	Only if the answer to the question "ospNavAmountIndemnifiedCashInvestors" is greater than 0 or "ospNavAmountIndemnifiedUnitsInvestors" is greater than 0.  If the compensation payments were realized on different days, please indicate in this field, the last payment date.
Total indemnification amount in EUR	ospTotalIndemnificationAmount	Only if the answer to the question "ospLossIndemnifiedSubfund" is greater than 0 or "ospNavImpact" is "With impact".  Please indicate the sum of all indemnification in EUR (indemnification to the (sub-)fund and/or investors)
Other information / comments concerning the incorrect application of swing pricing /	ospNavOtherInformation	Optional only if the answer to the question "prePreOrCompNotification" is "Complete notification".

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
other anti-dilution tool, impact or indemnification calculation		Please indicate here any other elements of relevance concerning the error/non-compliance as well as any specificities in the correction and impact calculation processes a.o. whether the financial impact has been determined using the compound method or the non-compound method.
Entity(ies) responsible for the payment of the indemnification amount	ospNavEntityResponsibleForPayment	Only if the answer to the question "ospLossIndemnifiedSubfund" is greater than 0 or "ospNavImpact" is "With impact".

## 9. Annex IV – Synopsis on information to be transmitted for “Other errors - Non-compliant payment of costs/fees at UCI level”

**\*CSSF guidance:** Please refer to annex VII for the code to be used in the notification for closed questions (Yes/No answers, or answers referring to a predefined list)

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Contact person email address	contactPersonEmail	The contact person must have an eDesk account linked to the notifying entity on eDesk. This person will receive the email in case of exchange of comments.
<b>1. General information</b>		
Complete or pre-notification	ocfPreOrCompNotification	<p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Complete notification</li> <li>- Pre-notification</li> </ul> <p>The CSSF expects a complete notification to be submitted, in principle, within 4 to 8 weeks of the detection of the incident.</p> <p>The pre-notification option can only be used on an exceptional basis in duly justified cases where the calculations and compensation processes necessary to correct the non-compliant payment of costs/fees at UCI level are particularly complex and time-consuming and thus do not allow entities to provide the CSSF, within 4 to 8 weeks, with a complete notification.</p>
Please describe the non-compliant payment of costs/fees at UCI level AND justify why a pre-notification is necessary	ocfPreNotificationDescription	Only if the answer to the question “ocfPreOrCompNotification” is “Pre-notification”.

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please describe the typology, duration, and estimated impact of the non-compliant payment of costs/fees at UCI level that occurred and provide all available details. Then, please provide a detailed justification allowing the CSSF to have a clear and thorough understanding of why the correction process of the investment allocation error cannot be finalized within 4 to 8 weeks and why the Fund is unable to submit a complete notification form with all the fields duly filled out.
<b>2. Details relating to the non-compliant payment of costs/fees at UCI level</b>		
Detection date of the non-compliant payment of costs/fees at UCI level	ocfDetectionDate	Only if the answer to the question "ocfPreOrCompNotification" is "Complete notification".  This date must be less than or equal to the reception date of the notification.
Period of the non-compliant payment of costs/fees at UCI level - Start Date	ocfPeriodStartDate	Only if the answer to the question "ocfPreOrCompNotification" is "Complete notification".  This date must be less than or equal to the reception date of the notification.
Period of the non-compliant payment of costs/fees at UCI level - End Date	ocfPeriodEndDate	Only if the answer to the question "ocfPreOrCompNotification" is "Complete notification".  This date must be greater than or equal to "ocfPeriodStartDate".
Please specify the type of non-compliant payment of costs/fees	ocfDirectionNonCompliantPayment	Only if the answer to the question "ocfPreOrCompNotification" is "Complete notification".  Please select the appropriate choice from the below list:  - UCI paid an excess amount of costs/fees

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- UCI paid an insufficient amount of costs/fees</li> </ul>
Please specify the correction process	ocfCorrectionProcess	<p>Only if the answer to the question "ocfDirectionNonCompliantPayment" is "UCI paid an insufficient amount of costs/fees".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- UCI has not been charged retroactively for the insufficient costs/fees</li> <li>- UCI has been charged retroactively for the insufficient costs/fees</li> </ul>
Description and cause of the of the non-compliant payment of costs/fees at UCI level	ocfDescription	<p>Only if the answer to the question "ocfPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of the circumstances and reasons leading to the non-compliant payment of costs/fees at UCI level.</p>
Concrete corrective measures/actions decided at the level of fund's organisation and control environment in order to avoid recurrence of the same kind of non-compliant payment of costs/fees at UCI level	ocfMesuresActionsDecided	<p>Only if the answer to the question "ocfPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of correction operations at the level of the Fund's organisation and control procedures/processes in order to avoid recurrence of comparable non-compliant payments of costs/fees at UCI level.</p>
Amount of the costs/fees which has not been charged retroactively	ocfAmountCostsNotCharged	<p>Only if the answer to the question "ocfCorrectionProcess" is "UCI has not been charged retroactively for the insufficient costs/fees".</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Amount of the costs/fees which has been charged retroactively	ocfAmountCostsCharged	<p>Only if the answer to the question "ocfCorrectionProcess" is "UCI has been charged retroactively for the insufficient costs/fees".</p> <p>In the event that the UCI retroactively withdraws the amount of insufficiently paid costs/fees from its assets, the UCI must in accordance with point 105 of Circular CSSF 24/856 fully correct the erroneous NAVs (due to insufficiently paid fees) for the entire error period without applying the tolerance threshold specified in Chapter 4 of the Circular concerning significant NAV calculation errors. On this basis, only some fields in the subsequent NAV calculation error section (as required based on the notification form) need to be completed.</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the "REA" (réviseur d'entreprises agréé (approved statutory auditor)) must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified to the sub-fund in EUR (costs/fees in excess)	ocfAmountIndemnifiedSubfundCostsExcess	<p>Only if the answer to the question "ocfDirectionNonCompliantPayment" is "UCI paid an excess amount of costs/fees".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50.000 EUR or the amount for a single investor exceeds 5.000 EUR.
Did the non-compliant payment of costs/fees cause a significant NAV calculation error	ocfCauseNavCalculationError	<p>Only if the answer to the question "ocfDirectionNonCompliantPayment" is "UCI paid an excess amount of costs/fees".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul> <p>For UCIs that paid too much costs/fees, it must be verified on all NAVs that were calculated during the entire period of non-complaint payment if the compensation amount caused a significant NAV calculation error and the resulting NAV calculation error must, in addition, be corrected in accordance with the guidelines laid down in Chapter 4 of Circular CSSF 24/856.</p> <p>For UCIs that did retroactively withdraw the amounts of insufficiently paid costs/fees from the UCI's assets, the UCI must fully correct the erroneous NAVs (through insufficiently paid fees) over the whole error period without applying the tolerance threshold provided for in Chapter 4 of Circular CSSF 24/856.</p>
Please indicate the type of UCI	ocfTypeUci	<p>Only if the answer to the question "ocfCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- UCITS or UCI PART II or SIF subject to the MMF Regulation</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- Bond UCITS</li> <li>- Mixed UCITS</li> <li>- Equity UCITS or other assets UCITS</li> <li>- Bond - UCIs Part II (for retail investors)</li> <li>- Mixed - UCIs Part II (for retail investors)</li> <li>- Equity - UCIs Part II (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors) applying different threshold based on derogation procedure</li> <li>- UCIs Part II, ELTIF, SIFs, SICARS, EuVECA and EuSEF (for well-informed or professional investors)</li> </ul>
Tolerance threshold applied (in %)	ocfToleranceThreshold	<p>Only if the answer to the question "ocfCauseNavCalculationError" is "Yes".</p> <p>The percentage must be between 0% and 5%</p>
<b>3. Details relating to the subsequent NAV calculation error</b>		
Period of the NAV calculation error - Start Date	ocfNavPeriodImpactStartDate	<p>Only if the answer to the question "ocfCauseNavCalculationError" is "Yes".</p>
Period of the NAV calculation error - End Date	ocfNavPeriodImpactEndDate	<p>Only if the answer to the question "ocfCauseNavCalculationError" is "Yes".</p> <p>This date must be greater than or equal to "ocfNavPeriodImpactStartDate".</p>
Period of the significant impact - Start Date	ocfNavPeriodImpactStartDate2	<p>Only if the answer to the question "ocfCauseNavCalculationError" is "Yes".</p>



Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>
Period of the significant impact - End Date	ocfNavPeriodImpactEndDate2	<p>Only if the answer to the question "ocfCauseNavCalculationError" is "Yes".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>
Impact of the NAV calculation error	ocfNavImpact	<p>Only if the answer to the question "ocfCauseNavCalculationError" is "Yes" or "ocfCorrectionProcess" is "UCI has been charged retroactively for the insufficient costs/fees".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- With impact</li> <li>- Without impact</li> </ul> <p>In case no subscription or redemption requests have been processed during the error period, please select "without impact"</p>
Please provide a clear justification on the reason why the error is to be considered as without impact	ocfNavJustificationWhitoutImpact	<p>Only if the answer to the question "ocfNavImpact" is "Without impact".</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Amount to be indemnified to the sub-fund in EUR (Please reference "0" if no compensation is required.)	ocfNavAmountIndemnifiedSubfund	<p>Only if the answer to the question "ocfNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified in cash to the investors in EUR (Please reference "0" if no compensation is required.)	ocfNavAmountIndemnifiedCashInvestors	<p>Only if the answer to the question "ocfNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified by allocation of new units to the investors in EUR (Please reference "0" if no compensation is required.)	ocfNavAmountIndemnifiedUnitsInvestors	<p>Only if the answer to the question "ocfNavImpact" is "With impact".</p> <p>For Investors who received a corresponding number of shares as indemnification, please indicate the amount in EUR</p>
Please indicate if indemnification amount for a single investor exceeds EUR 5,000	ocfNavSingleInvestor	<p>Only if the answer to the question "ocfNavAmountIndemnifiedCashInvestors" is greater than 5000 or "ocfNavAmountIndemnifiedUnitsInvestors" is greater than 5000.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please select the appropriate choice from the below list: <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Maximum impact in % of the error	ocfNavMaxImpactError	Only if the answer to the question "ocfNavImpact" is "With impact". Please indicate for the NAV calculation error the highest percentage of the impact during the period
De minimis amount applied	ocfNavDeMinimisAmount	Only if the answer to the question "ocfNavAmountIndemnifiedCashInvestors" is greater than 0 or "ocfNavAmountIndemnifiedUnitsInvestors" is greater than 0. Please select the appropriate choice from the below list: <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Please indicate the threshold level of the "De minimis" fixed in the internal procedure	ocfNavDeMinimisThreshold	Only if the answer to the question "ocfNavDeMinimisAmount" is "Yes".
Please indicate the currency	ocfNavCurrency	Only if the answer to the question "ocfNavDeMinimisAmount" is "Yes". Please select the appropriate choice from the below list: see Annex VII
<b>4. Details concerning the indemnification procedure</b>		
Date of booking / recording of the provision (in the accounting of the UCI)	ocfNavBookingDate	Only if the answer to the question "ocfAmountCostsNotCharged" is greater than 0 or "ocfAmountIndemnifiedSubfundCostsExcess" is greater than 0 or "ocfNavImpact" is "With impact". Booking date of the indemnification amounts

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Sub-fund payment date	ocfNavSubfundPaymentDate	<p>Only if the answer to the question "ocfAmountIndemnifiedSubfundCostsExcess" is greater than 0 or "ocfNavAmountIndemnifiedSubfund" is greater than 0.</p> <p>This date must be greater than or equal to "ocfDetectionDate" and "ocfPeriodEndDate" and "ocfNavPeriodImpactEndDate".</p> <p>If the compensation payments were realized on different days, please indicate in this field, the last payment date.</p>
Investors payment date	ocfNavInvestorsPaymentDate	<p>Only if the answer to the question "ocfNavAmountIndemnifiedCashInvestors" is greater than 0 or "ocfNavAmountIndemnifiedUnitsInvestors" is greater than 0.</p> <p>This date must be greater than or equal to "ocfDetectionDate" and "ocfPeriodEndDate" and "ocfNavPeriodImpactEndDate".</p> <p>If the compensation payments were realized on different days, please indicate in this field, the last payment date.</p>
Total indemnification amount in EUR	ocfTotalIndemnificationAmount	<p>Only if the answer to the question "ocfAmountIndemnifiedSubfundCostsExcess" is greater than 0 or "ocfNavAmountIndemnifiedSubfund" is greater than 0 or "ocfNavAmountIndemnifiedCashInvestors" is greater than 0 or "ocfNavAmountIndemnifiedUnitsInvestors" is greater than 0.</p> <p>Please indicate the total indemnification amount, thereby following the guidance hereafter for the different types of non-compliant payment of costs/fees:</p> <p>If the UCI paid an excess amount of costs/fees, please indicate here (i) the indemnification amount paid to the UCI for the corresponding</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<p>excess amount of costs/fees and (ii) if applicable, the indemnification amounts paid to the (sub-)fund and/or investors in case the error caused a significant NAV calculation error.</p> <p>If the UCI did pay an insufficient amount of costs/fees and if the UCI did not retroactively charge the insufficient amount of costs/fees from the UCI's assets, then please indicate "0" as no indemnification occurred at level of the UCI and/or the investors.</p> <p>If the UCI retroactively withdraws the amount of insufficiently paid costs/fees from the UCI's assets, then please provide the total amount of retroactively charged costs/fees withdrawn from the UCI, as well as, if applicable, the indemnification amounts paid to the (sub-)fund and/or investors as a result of the correction of the erroneous NAV calculations (due to the insufficiently paid fees) over the entire error period, without applying the tolerance threshold outlined in Chapter 4 of the Circular relating to significant NAV calculation errors.</p>
Other information / helpful comments concerning the error, impact or reimbursement calculation	ocfNavOtherInformation	<p>Only if the answer to the question "ocfPreOrCompNotification" is "Complete notification".</p> <p>Please indicate here any other elements of relevance concerning the error/non-compliance as well as any specificities in the correction and impact calculation processes a.o. whether the financial impact has been determined using the compound method or the non-compound method.</p>
Entity(ies) responsible for the payment of the indemnification amount	ocfNavEntityResponsibleForPayment	Only if the answer to the question "ocfAmountCostsNotCharged" is greater than 0 or "ocfAmountIndemnifiedSubfundCostsExcess" is greater than 0 or "ocfNavAmountIndemnifiedSubfund" is greater than

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		0 or "ocfNavAmountIndemnifiedCashInvestors" is greater than 0 or "ocfNavAmountIndemnifiedUnitsInvestors" is greater than 0.

## 10. Annex V – Synopsis on information to be transmitted for “Other errors - Incorrect application of cut-off rules”

**\*CSSF guidance:** Please refer to annex VII for the code to be used in the notification for closed questions (Yes/No answers, or answers referring to a predefined list)

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Contact person email address	contactPersonEmail	The contact person must have an eDesk account linked to the notifying entity on eDesk. This person will receive the email in case of exchange of comments.
<b>1. General information</b>		
Complete or pre-notification	ocoPreOrCompNotification	<p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Complete notification</li> <li>- Pre-notification</li> </ul> <p>The CSSF expects a complete notification to be submitted, in principle, within 4 to 8 weeks of the detection of the incident.</p> <p>The pre-notification option can only be used on an exceptional basis in duly justified cases where the calculations and compensation processes necessary to correct the incorrect application of cut-off rules are particularly complex and time-consuming and thus do not allow entities to provide the CSSF, within 4 to 8 weeks, with a complete notification.</p>
Please describe the incorrect application of cut-off rules AND justify why a pre-notification is necessary	ocoPreNotificationDescription	Only if the answer to the question “ocoPreOrCompNotification” is “Pre-notification”.

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please describe the typology, duration, and estimated impact of the incorrect application of cut-off rules that occurred and provide all available details. Then, please provide a detailed justification allowing the CSSF to have a clear and thorough understanding of why the correction process of the investment allocation error cannot be finalized within 4 to 8 weeks and why the Fund is unable to submit a complete notification form with all the fields duly filled out.
<b>2. Details relating to the incorrect application of cut-off rules</b>		
Detection date of the incorrect application of cut-off rules	ocoDetectionDate	Only if the answer to the question "ocoPreOrCompNotification" is "Complete notification".  This date must be less than or equal to the reception date of the notification.
Period of the incorrect application of cut-off rules- Start Date	ocoPeriodStartDate	Only if the answer to the question "ocoPreOrCompNotification" is "Complete notification".  This date must be less than or equal to the reception date of the notification.
Period of the incorrect application of cut-off rules- End Date	ocoPeriodEndDate	Only if the answer to the question "ocoPreOrCompNotification" is "Complete notification".  This date must be greater than or equal to "ocoPeriodStartDate".
Description and cause of the incorrect application of cut-off rules	ocoDescription	Only if the answer to the question "ocoPreOrCompNotification" is "Complete notification".  Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of the circumstances and reasons leading to the incorrect application of cut-off rules



Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Concrete corrective measures/actions decided at the level of fund's organization and control environment in order to avoid recurrence of the same kind of incorrect application of cut-off rules	ocoMesuresActionsDecided	<p>Only if the answer to the question "ocoPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of correction operations at the level of the Fund's organisation and control procedures/processes in order to avoid recurrence of comparable incorrect application of cut-off rules</p>
Impact of the incorrect application of cut-off rules	ocoImpact	<p>Only if the answer to the question "ocoPreOrCompNotification" is "Complete notification".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- With impact</li> <li>- Without impact</li> </ul>
Please provide a clear justification on the reason why the incorrect application of cut-off rules is to be considered as without impact	ocoJustificationWithoutImpact	<p>Only if the answer to the question "ocoImpact" is "Without impact".</p>
Amount to be indemnified to the sub-fund in EUR (Please reference "0" if no compensation is required.)	ocoAmountIndemnifiedSubfund	<p>Only if the answer to the question "ocoImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the "REA" (réviseur d'entreprises agréé (approved statutory auditor)) must only be submitted to the CSSF for</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.
Amount to be indemnified in cash to the investors in EUR (Please reference "0" if no compensation is required.)	ocoAmountIndemnifiedCashInvestors	<p>Only if the answer to the question "ocoImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified by allocation of new units to the investors in EUR (Please reference "0" if no compensation is required.)	ocoAmountIndemnifiedUnitsInvestors	<p>Only if the answer to the question "ocoImpact" is "With impact".</p> <p>For Investors who received a corresponding number of shares as indemnification, please indicate the amount in EUR</p>
Please indicate if indemnification amount for a single investor exceeds EUR 5,000	ocoSingleInvestor	<p>Only if the answer to the question "ocoAmountIndemnifiedCashInvestors" is greater than 5000 or "ocoAmountIndemnifiedUnitsInvestors" is greater than 5000.</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Maximum impact in % of the error	ocoMaxImpact	<p>Only if the answer to the question "ocoImpact" is "With impact".</p> <p>Please indicate for the incorrect application of the cut-off rules the highest percentage of the impact on the NAV during the period</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
De minimis amount applied	ocoDeMinimisAmount	<p>Only if the answer to the question "ocoAmountIndemnifiedCashInvestors" is greater than 0 or "ocoAmountIndemnifiedUnitsInvestors" is greater than 0.</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Please indicate the threshold level of the "De minimis" fixed in the internal procedures	ocoDeMinimisThreshold	<p>Only if the answer to the question "ocoDeMinimisAmount" is "Yes".</p>
Please indicate the currency	ocoCurrency	<p>Only if the answer to the question "ocoDeMinimisAmount" is "Yes".</p> <p>Please select the appropriate choice from the below list: see Annex VII.</p>
Did the Incorrect application of cut-off rules cause a significant NAV calculation error	ocoCauseNavCalculationError	<p>Only if the answer to the question "ocoImpact" is "With impact".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Please indicate the type of UCI	ocoTypeUci	<p>Only if the answer to the question "ocoCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- UCITS or UCI PART II or SIF subject to the MMF Regulation</li> <li>- Bond UCITS</li> <li>- Mixed UCITS</li> <li>- Equity UCITS or other assets UCITS</li> <li>- Bond - UCIs Part II (for retail investors)</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- Mixed - UCIs Part II (for retail investors)</li> <li>- Equity - UCIs Part II (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors) applying different threshold based on derogation procedure</li> <li>- UCIs Part II, ELTIF, SIFs, SICARS, EuVECA and EuSEF (for well-informed or professional investors)</li> </ul>
Tolerance threshold applied (in %)	ocoToleranceThreshold	<p>Only if the answer to the question "ocoCauseNavCalculationError" is "Yes".</p> <p>The percentage must be between 0% and 5%</p>
Other information / helpful comments concerning the error, impact or reimbursement calculation	ocoOtherInformation	<p>Only if the answer to the question "ocoPreOrCompNotification" is "Complete notification".</p>
<b>3. Details relating to the subsequent NAV calculation error</b>		
Period of the NAV calculation error - Start Date	ocoNavPeriodStartDate	<p>Only if the answer to the question "ocoCauseNavCalculationError" is "Yes".</p>
Period of the NAV calculation error - End Date	ocoNavPeriodEndDate	<p>Only if the answer to the question "ocoCauseNavCalculationError" is "Yes".</p>
Period of the significant impact - Start Date	ocoNavPeriodImpactStartDate	<p>Only if the answer to the question "ocoCauseNavCalculationError" is "Yes".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		incorrect. The individual sub-periods with a significant error do not need to be specified individually.
Period of the significant impact - End Date	ocoNavPeriodImpactEndDate	<p>Only if the answer to the question "ocoCauseNavCalculationError" is "Yes".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>
Impact of the NAV calculation error	ocoNavImpact	<p>Only if the answer to the question "ocoCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- With impact</li> <li>- Without impact</li> </ul> <p>In case no subscription or redemption requests have been processed during the error period, please select "without impact"</p>
Please provide a clear justification on the reason why the error is to be considered as without impact	ocoNavJustificationWhitoutImpact	Only if the answer to the question "ocoNavImpact" is "Without impact".
Amount to be indemnified to the sub-fund in EUR (Please reference "0" if no compensation is required.)	ocoNavAmountIndemnifiedSubfund	<p>Only if the answer to the question "ocoNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<p>on subscription/redemption of respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
<p>Amount to be indemnified in cash to the investors in EUR (Please reference "0" if no compensation is required.)</p>	<p>ocoNavAmountIndemnifiedCashInvestors</p>	<p>Only if the answer to the question "ocoNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption of respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
<p>Amount to be indemnified by allocation of new units to the investors in EUR (Please reference "0" if no compensation is required.)</p>	<p>ocoNavAmountIndemnifiedUnitsInvestors</p>	<p>Only if the answer to the question "ocoNavImpact" is "With impact".</p> <p>For Investors who received a corresponding number of shares as indemnification, please indicate the amount in EUR</p>
<p>Please indicate if indemnification amount for a single investor exceeds EUR 5,000</p>	<p>ocoNavSingleInvestor</p>	<p>Only if the answer to the question "ocoNavAmountIndemnifiedCashInvestors" is greater than 5000 or "ocoNavAmountIndemnifiedUnitsInvestors" is greater than 5000.</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Yes</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		- No
Maximum impact in % of the error	ocoNavMaxImpactError	Only if the answer to the question "ocoNavImpact" is "With impact". Please indicate for the NAV calculation error the highest percentage of the impact during the period
De minimis amount applied	ocoNavDeMinimisAmount	Only if the answer to the question "ocoNavAmountIndemnifiedCashInvestors" is greater than 0 or "ocoNavAmountIndemnifiedUnitsInvestors" is greater than 0. Please select the appropriate choice from the below list:  - Yes - No
Please indicate the threshold level of the "De minimis" fixed in the internal procedures	ocoNavDeMinimisThreshold	Only if the answer to the question "ocoNavDeMinimisAmount" is "Yes".
Please indicate the currency	ocoNavCurrency	Only if the answer to the question "ocoNavDeMinimisAmount" is "Yes".  Please select the appropriate choice from the below list: see Annex VII
<b>4. Details concerning the indemnification procedure</b>		
Date of booking / recording of the provision (in the accounting of the UCI)	ocoBookingDate	Optional only if the answer to the question "ocoAmountIndemnifiedSubfund" is greater than 0 or "ocoAmountIndemnifiedCashInvestors" is greater than 0 or "ocoAmountIndemnifiedUnitsInvestors" is greater than 0 or "ocoNavAmountIndemnifiedSubfund" is greater than 0 or

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<p>"ocoNavAmountIndemnifiedCashInvestors" is greater than 0 or "ocoNavAmountIndemnifiedUnitsInvestors" is greater than 0.</p> <p>Booking date of the indemnification amounts</p>
Sub-fund payment date	ocoSubfundPaymentDate	<p>Only if the answer to the question "ocoAmountIndemnifiedSubfund" is greater than 0 or "ocoNavAmountIndemnifiedSubfund" is greater than 0.</p> <p>This date must be greater than or equal to "ocoDetectionDate" and "ocoPeriodEndDate".</p> <p>If the compensation payments were realized on different days, please indicate in this field, the last payment date.</p>
Investors payment date	ocoInvestorsPaymentDate	<p>Only if the answer to the question "ocoAmountIndemnifiedCashInvestors" is greater than 0 or "ocoAmountIndemnifiedUnitsInvestors" is greater than 0 or "ocoNavAmountIndemnifiedCashInvestors" is greater than 0 or "ocoNavAmountIndemnifiedUnitsInvestors" is greater than 0.</p> <p>This date must be greater than or equal to "ocoDetectionDate" and "ocoPeriodEndDate".</p> <p>If the compensation payments were realized on different days, please indicate in this field, the last payment date.</p>
Total indemnification amount in EUR	ocoTotalIndemnificationAmount	<p>Only if the answer to the question "ocoImpact" is "With impact" or "ocoNavImpact" is "With impact".</p> <p>Please indicate the sum of all indemnification in EUR (indemnification to the (sub-)fund and/or investors)</p>



Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Other information / comments concerning the incorrect application of cut-off rules, impact or indemnification calculation	ocoEntityResponsibleForPayment	<p>Optional only if the answer to the question "ocoPreOrCompNotification" is "Complete notification".</p> <p>Please indicate here any other elements of relevance concerning the error/non-compliance as well as any specificities in the correction and impact calculation processes a.o. whether the financial impact has been determined using the compound method or the non-compound method.</p>
Entity(ies) responsible for the payment of the indemnification amount	ocoEntityResponsibleForPayment	Only if the answer to the question "ocoImpact" is "With impact" or "ocoNavImpact" is "With impact".

## 11. Annex VI – Synopsis on information to be transmitted for “Other errors - Investment allocation errors”

**\*CSSF guidance:** Please refer to annex VII for the code to be used in the notification for closed questions (Yes/No answers, or answers referring to a predefined list)

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Contact person email address	contactPersonEmail	The contact person must have an eDesk account linked to the notifying entity on eDesk. This person will receive the email in case of exchange of comments.
<b>1. General information</b>		
Complete or pre-notification	oiaPreOrCompNotification	<p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Complete notification</li> <li>- Pre-notification</li> </ul> <p>The CSSF expects a complete notification to be submitted, in principle, within 4 to 8 weeks of the detection of the incident.</p> <p>The pre-notification option can only be used on an exceptional basis in duly justified cases where the calculations and compensation processes necessary to correct the Investment allocation errors are particularly complex and time-consuming and thus do not allow entities to provide the CSSF, within 4 to 8 weeks, with a complete notification.</p>
Please describe the investment allocation error AND justify why a pre-notification is necessary	oiaPreNotificationDescription	Only if the answer to the question “oiaPreOrCompNotification” is “Pre-notification”.

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please describe the typology, duration, and estimated impact of the investment allocation error that occurred and provide all available details. Then, please provide a detailed justification allowing the CSSF to have a clear and thorough understanding of why the correction process of the investment allocation error cannot be finalized within 4 to 8 weeks and why the Fund is unable to submit a complete notification form with all the fields duly filled out.
<b>2. Details relating to the investment allocation error</b>		
Detection date of the investment allocation error	oiaDetectionDate	Only if the answer to the question "oiaPreOrCompNotification" is "Complete notification".  This date must be less than or equal to the reception date of the notification.
Period of the investment allocation error - Start Date	oiaPeriodStartDate	Only if the answer to the question "oiaPreOrCompNotification" is "Complete notification".  This date must be less than or equal to the reception date of the notification.
Period of the investment allocation error - End Date	oiaPeriodEndDate	Only if the answer to the question "oiaPreOrCompNotification" is "Complete notification".  This date must be greater than or equal to "oiaPeriodStartDate".
Nature of the investment allocation error	oiaNature	Only if the answer to the question "oiaPreOrCompNotification" is "Complete notification".  Please select the appropriate choice from the below list:  <ul style="list-style-type: none"> <li>- UCI received erroneously investments</li> <li>- UCI did not receive the investments intended for it</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		- Other investment allocation error
Description and cause of the investment allocation error	oiaDescription	<p>Only if the answer to the question "oiaPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of the circumstances and reasons leading to the investment allocation error.</p>
Concrete corrective measures/actions decided at the level of fund's organisation and control environment in order to avoid recurrence of the same kind of investment allocation error	oiaMesuresActionsDecided	<p>Only if the answer to the question "oiaPreOrCompNotification" is "Complete notification".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding of correction operations at the level of the Fund's organisation and control procedures/processes in order to avoid recurrence of comparable investment allocation errors.</p>
Impact of the investment allocation error	oiaImpact	<p>Only if the answer to the question "oiaPreOrCompNotification" is "Complete notification".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Loss</li> <li>- Gain</li> <li>- Without impact</li> </ul>
Please provide a clear justification on the reason why the investment allocation error is to be considered as without impact	oiaJustificationWithoutImpact	Only if the answer to the question "oiaImpact" is "Without impact".
Please indicate the currency of the sub-fund	oiaCurrencySubfund	Only if the answer to the question "oiaImpact" is not equal to "Without impact".

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please select the appropriate choice from the below list: see Annex VII.
Amount of the impact expressed in the sub-fund currency	oiaAmountImpactSubfundCurrency	Only if the answer to the question "oiaImpact" is not equal to "Without impact" and "oiaCurrencySubfund" is not equal to "EUR".
Amount of the impact in EUR	oiaAmountImpact	<p>Only if the answer to the question "oiaImpact" is not equal to "Without impact".</p> <p>A special audit report by the "REA" (réviseur d'entreprises agréé (approved statutory auditor)) must only be submitted to the CSSF for UCITS and UCI part II where the total of the compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Calculation method used for the determination of the impact	oiaCalculationMethod	<p>Only if the answer to the question "oiaImpact" is not equal to "Without impact".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Economic method</li> <li>- Accounting method</li> </ul>
For the economic method, please indicate the comparative benchmark/performance used	oiaBenchmarkUsed	Only if the answer to the question "oiaCalculationMethod" is "Economic method".
Method applied	oiaMethodApplied	<p>Only if the answer to the question "oiaCalculationMethod" is "Accounting method".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- LIFO</li> <li>- FIFO</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- Average cost</li> <li>- Other</li> </ul>
Details concerning method applied or other information / comments	oiaMethodAppliedDetails	<p>Only if the answer to the question "oiaImpact" is not equal to "Without impact".</p> <p>Please provide a detailed description/explanation allowing the CSSF to have a good and clear understanding</p>
Did the investment allocation error cause a significant NAV calculation error	oiaCauseNavCalculationError	<p>Only if the answer to the question "oiaImpact" is not equal to "Without impact".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul> <p>For any investment allocation error, it must be verified what impact the erroneous transactions had on all NAVs that were calculated during the entire investment allocation error period. In the event that during the investment allocation error period, the impact of the erroneous transactions on a given NAV was greater than the applicable tolerance threshold, the resulting NAV calculation error must, in addition, be corrected in accordance with the rules of conduct laid down in Chapter 4 of Circular CSSF 24/856.</p>
Please indicate the type of UCI	oiaTypeUci	<p>Only if the answer to the question "oiaCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- UCITS or UCI PART II or SIF subject to the MMF Regulation</li> <li>- Bond UCITS</li> </ul>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		<ul style="list-style-type: none"> <li>- Mixed UCITS</li> <li>- Equity UCITS or other assets UCITS</li> <li>- Bond - UCIs Part II (for retail investors)</li> <li>- Mixed - UCIs Part II (for retail investors)</li> <li>- Equity - UCIs Part II (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors)</li> <li>- Other assets - UCIs Part II or ELTIF (for retail investors) applying different threshold based on derogation procedure</li> <li>- UCIs Part II, ELTIF, SIFs, SICARS, EuVECA and EuSEF (for well-informed or professional investors)</li> </ul>
Tolerance threshold applied (in %)	oiaToleranceThreshold	<p>Only if the answer to the question "oiaCauseNavCalculationError" is "Yes".</p> <p>The percentage must be between 0% and 5%</p>
<b>3. Details relating to the subsequent NAV calculation error</b>		
Period of the NAV calculation error - Start Date	oiaNavPeriodStartDate	Only if the answer to the question "oiaCauseNavCalculationError" is "Yes".
Period of the NAV calculation error - End Date	oiaNavPeriodEndDate	Only if the answer to the question "oiaCauseNavCalculationError" is "Yes".
Period of the significant impact - Start Date	oiaNavPeriodImpactStartDate	<p>Only if the answer to the question "oiaCauseNavCalculationError" is "Yes".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		The individual sub-periods with a significant error do not need to be specified individually.
Period of the significant impact - End Date	oiaNavPeriodImpactEndDate	<p>Only if the answer to the question "oiaCauseNavCalculationError" is "Yes".</p> <p>This date must be greater than or equal to "oiaNavPeriodImpactStartDate".</p> <p>If, during the error period, days with significant impact alternate with days on which the impact was not significant, please indicate as the start date the first day of the significant NAV calculation error and as the end date the last day on which the error was significantly incorrect. The individual sub-periods with a significant error do not need to be specified individually.</p>
Impact of the NAV calculation error	oiaNavImpact	<p>Only if the answer to the question "oiaImpact" is not equal to "Without impact" and "oiaCauseNavCalculationError" is "Yes".</p> <p>Please select the appropriate choice from the below list:</p> <ul style="list-style-type: none"> <li>- With impact</li> <li>- Without impact</li> </ul> <p>In case no subscription or redemption requests have been processed during the error period, please select "without impact"</p>
Please provide a clear justification on the reason why the NAV calculation error is to be considered as without impact	oiaNavJustificationWithoutImpact	Only if the answer to the question "oiaNavImpact" is "Without impact"



Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Amount to be indemnified to the sub-fund in EUR (Please reference "0" if no compensation is required.)	oiaNavAmountIndemnifiedSubfund	<p>Only if the answer to the question "oiaNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified in cash to the investors in EUR (Please reference "0" if no compensation is required.)	oiaNavAmountIndemnifiedCashInvestors	<p>Only if the answer to the question "oiaNavImpact" is "With impact".</p> <p>Please provide comprehensive details on the compensation amounts/percentage in the separate impact calculation file (impacts on subscription/redemption for respectively UCI and investors) in the relevant currencies.</p> <p>A special audit report by the REA must only be submitted to the CSSF for UCITS and UCI part II where the total compensation amounts exceeds 50,000 EUR or the amount for a single investor exceeds 5,000 EUR.</p>
Amount to be indemnified by allocation of new units to the investors in EUR (Please reference "0" if no compensation is required.)	oiaNavAmountIndemnifiedUnitsInvestors	<p>Only if the answer to the question "oiaNavImpact" is "With impact".</p> <p>For Investors who received a corresponding number of shares as indemnification, please indicate the amount in EUR</p>
Please indicate if indemnification amount for a single investor exceeds EUR 5,000	oiaNavSingleInvestor	<p>Only if the answer to the question "oiaNavAmountIndemnifiedCashInvestors" is greater than 0 or "oiaNavAmountIndemnifiedUnitsInvestors" is greater than 0.</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		Please select the appropriate choice from the below list: <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Maximum impact in % of the NAV	oiaNavMaxImpact	Only if the answer to the question "oiaNavImpact" is "With impact". Please indicate for the NAV calculation error the highest percentage of the impact during the period
"De minimis" amount applied	oiaNavDeMinimisAmount	Only if the answer to the question "oiaNavAmountIndemnifiedCashInvestors" is greater than 0 or "oiaNavAmountIndemnifiedUnitsInvestors" is greater than 0. Please select the appropriate choice from the below list: <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> </ul>
Please indicate the threshold level of the "De minimis" fixed in the internal procedures	oiaNavDeMinimisThreshold	Only if the answer to the question "oiaNavDeMinimisAmount" is "Yes".
Please indicate the currency	oiaNavCurrency	Only if the answer to the question "oiaNavDeMinimisAmount" is "Yes". Please select the appropriate choice from the below list: see Annex VII.
<b>4. Details concerning the indemnification procedure</b>		
Date of booking / recording of the provision (in the accounting of the UCI)	oiaBookingDate	Only if the answer to the question "oiaImpact" is "Loss" or "oiaCauseNavCalculationError" is "Yes". Booking date of the indemnification amounts

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
Sub-fund payment date	oiaSubfundPaymentDate	<p>Optional only if the answer to the question "oiaImpact" is "Loss" or "oiaNavAmountIndemnifiedSubfund" is greater than 0.</p> <p>This date must be greater than or equal to "oiaDetectionDate" and "oiaPeriodEndDate" and "oiaNavPeriodImpactEndDate".</p> <p>If the compensation payments were realized on different days, please indicate in this field, the last payment date.</p>
Investors payment date	oiaInvestorsPaymentDate	<p>Only if the answer to the question "oiaNavAmountIndemnifiedCashInvestors" is greater than 0 or "oiaNavAmountIndemnifiedUnitsInvestors" is greater than 0.</p> <p>This date must be greater than or equal to "oiaDetectionDate" and "oiaPeriodEndDate" and "oiaNavPeriodImpactEndDate".</p> <p>If the compensation payments were realized on different days, please indicate in this field, the last payment date.</p>
Total indemnification amount in EUR		<p>Only if the answer to the question "oiaImpact" is "Loss" or "oiaNavAmountIndemnifiedSubfund" is greater than 0 or "oiaNavAmountIndemnifiedCashInvestors" is greater than 0.</p> <p>Please indicate the sum of all indemnification in EUR (indemnification to the (sub-)fund and/or investors)</p>
Other information / comments concerning the investment allocation error, impact or indemnification calculation		<p>Only if the answer to the question "oiaPreOrCompNotification" is "Complete notification".</p> <p>Please indicate here any other elements of relevance concerning the error/non-compliance as well as any specificities in the correction and impact calculation processes a.o. whether the financial impact has</p>

Information to be provided	Technical attribute to be provided in the JSON file	CSSF guidance*
		been determined using the compound method or the non-compound method.
Entity(ies) responsible for the payment of the indemnification amount	oiaEntityResponsibleForPayment	Only if the answer to the question "oiaImpact" is "Loss" or "oiaNavImpact" is "With impact".

## 12. Annex VII – Codes required in the notification for closed questions

Label	Code for JSON file
NAV calculation error at UCI level	NAV
Non-compliance with investment rules at UCI level	BRE
Other errors - Incorrect application of Swing Pricing	OSP
Other errors - Non-compliant payment of costs/fees at UCI level	OCF
Other errors - Incorrect application of cut-off rules	OCO
Other errors - Investment allocation errors	OIA
Complete notification	CN
Pre-notification	PN
UCITS or UCI PART II or SIF subject to the MMF Regulation	UCITS_UCI2_SIF_MMF
Bond UCITS	UCITS_BOND
Mixed UCITS	UCITS_MIXED
Equity UCITS or "other assets" UCITS	UCITS_EQUITY_OTHER
Bond - UCIs Part II (for retail investors)	UCI2_BOND
Mixed - UCIs Part II (for retail investors)	UCI2_MIXED
Equity - UCIs Part II (for retail investors)	UCI2_EQUITY
Other assets - UCIs Part II or ELTIF (for retail investors)	UCI2_ELITF_RETAIL
Other assets - UCIs Part II or ELTIF (for retail investors) applying different threshold based on derogation procedure	UCI2_ELITF_RETAIL_DIF F
UCIs Part II, ELTIF, SIFs, SICARS, EuVECA and EuSEF (for well-informed or professional investors)	UCI2_ELITF_SIF_SICARS _EUVECA_EUSEF_INFOR MED
Yes	Y
No	N
Securities (except derivatives) valuation error	SEC
Accounting error	ACC
Fees and accruals error	FEE
Corporate action error	COR
Derivatives valuation error	DER

Label	Code for JSON file
Other error (please describe further in the field "Description and cause of the NAV error")	OTH
With impact	WI
Without impact	WOI
No subscription or redemption requests have been processed during the error period	NS
Other reason	OT
Art. 41 (1) L2010 - Eligibility requirements	ART411
Art. 41 (2) L2010 - 10% TS/MMI (Trash Ratio)	ART412
Art. 41(2)(b) L2010 - 20% ancillary liquid assets	ART412B
Art. 43 (1) L2010 - 10% issuer TS/MMI	ART431ISSUER
Art. 43 (1) L2010 - 20% deposits	ART431DEP
Art. 43 (1) L2010 - 5%/10% FDI counterparty risk	ART431DFDI
Art. 43 (2) L2010 - 5%/10%/40% - issuer TS/MMI	ART432ISSUER
Art. 43 (2) L2010 - 20% combined limit TS/MMI/deposits/FDI	ART432LIMIT
Art. 43 (3) L2010 - 35% TS/MMI	ART433
Art. 45 (1) L2010 - 100%/6 issues/30% TS/MMI (above 35%)	ART451
Art. 46 (1) L2010 - 20% UCITS/UCI	ART461
Art. 48 (2) L2010 - significant influence	ART482
Art. 50 (2) L2010 - 10% borrowings on a temporary basis	ART502
Art. 52 L2010 - No uncovered sales	ART52
SIF - 30% issuer	SIF
Money Market Fund regulation	MMFR
ESMA guidelines (Eligibility/Diversification of collateral)	ESMA
Breach of specific prospectus rules (other)	PROSP
Breach of specific prospectus rules (ESG/SFDR related)	SFDR
Breach of other investment restriction rule (Please describe further in the field "Description and cause of the investment breach")	OTH
Loss	LO
Gain	GA
Without impact	WOI
Economic method	ECO
Accounting method	ACC

Label	Code for JSON file
LIFO	LIFO
FIFO	FIFO
Average cost	AVG
Other	OTH
Non-application of the swing factor as set for the UCI	SFNA
Application of a swing factor that exceeds the factor set at the level of the UCI	SFEX
Application of a swing factor that was insufficient compared to the factor set for the UCI	SFIN
Other swing pricing error / other anti-dilution tool error	SOTH
UCI paid an excess amount of costs/fees	CFEX
UCI paid an insufficient amount of costs/fees	CFIN
UCI has not been charged retroactively for the insufficient costs/fees	NCHARGED
UCI has been charged retroactively for the insufficient costs/fees	CHARGED
UCI received erroneously investments	ERR
UCI did not receive the investments intended for it	MISS
Other investment allocation error	OTHIA
EUR	EUR
USD	USD
AED	AED
AFN	AFN
ALL	ALL
AMD	AMD
ANG	ANG
AOA	AOA
ARS	ARS
AUD	AUD
AZN	AZN
BAM	BAM
BBD	BBD
BDT	BDT
BGN	BGN
BHD	BHD

<b>Label</b>	<b>Code for JSON file</b>
BIF	BIF
BMD	BMD
BND	BND
BOB	BOB
BOV	BOV
BRL	BRL
BSD	BSD
BTN	BTN
BWP	BWP
BYN	BYN
BZD	BZD
CAD	CAD
CDF	CDF
CHE	CHE
CHF	CHF
CHW	CHW
CLF	CLF
CLP	CLP
CNY	CNY
COP	COP
COU	COU
CRC	CRC
CUC	CUC
CUP	CUP
CVE	CVE
CZK	CZK
DJF	DJF
DKK	DKK
DOP	DOP
DZD	DZD
EGP	EGP
ERN	ERN



<b>Label</b>	<b>Code for JSON file</b>
ETB	ETB
FJD	FJD
FKP	FKP
GBP	GBP
GEL	GEL
GHS	GHS
GIP	GIP
GMD	GMD
GNF	GNF
GTQ	GTQ
GYD	GYD
HKD	HKD
HNL	HNL
HRK	HRK
HTG	HTG
HUF	HUF
IDR	IDR
ILS	ILS
INR	INR
IQD	IQD
IRR	IRR
ISK	ISK
JMD	JMD
JOD	JOD
JPY	JPY
KES	KES
KGS	KGS
KHR	KHR
KMF	KMF
KPW	KPW
KRW	KRW
KWD	KWD

<b>Label</b>	<b>Code for JSON file</b>
KYD	KYD
KZT	KZT
LAK	LAK
LBP	LBP
LKR	LKR
LRD	LRD
LSL	LSL
LYD	LYD
MAD	MAD
MDL	MDL
MGA	MGA
MKD	MKD
MMK	MMK
MNT	MNT
MOP	MOP
MRU	MRU
MUR	MUR
MVR	MVR
MWK	MWK
MXN	MXN
MXV	MXV
MYR	MYR
MZN	MZN
NAD	NAD
NGN	NGN
NIO	NIO
NOK	NOK
NPR	NPR
NZD	NZD
OMR	OMR
PAB	PAB
PEN	PEN

<b>Label</b>	<b>Code for JSON file</b>
PGK	PGK
PHP	PHP
PKR	PKR
PLN	PLN
PYG	PYG
QAR	QAR
RON	RON
RSD	RSD
RUB	RUB
RWF	RWF
SAR	SAR
SBD	SBD
SCR	SCR
SDG	SDG
SEK	SEK
SGD	SGD
SHP	SHP
SLL	SLL
SOS	SOS
SRD	SRD
SSP	SSP
STN	STN
SVC	SVC
SYP	SYP
SZL	SZL
THB	THB
TJS	TJS
TMT	TMT
TND	TND
TOP	TOP
TRY	TRY
TTD	TTD

Label	Code for JSON file
TWD	TWD
TZS	TZS
UAH	UAH
UGX	UGX
USN	USN
UYI	UYI
UYU	UYU
UYW	UYW
UZS	UZS
VES	VES
VND	VND
VUV	VUV
WST	WST
XAF	XAF
XCD	XCD
XOF	XOF
XPF	XPF
XPT	XPT
YER	YER
ZAR	ZAR
ZMW	ZMW
ZWL	ZWL