

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

Luxembourg, 10 November 2015

To all Luxembourg credit institutions and
branches of non-EU credit institutions

CIRCULAR CSSF 15/624

Re: **Electronic transmission of documents to the CSSF**

Ladies and Gentlemen,

This circular introduces the electronic transmission of the documents listed below to the CSSF via one of the secured channels E-file or SOFiE. This electronic transmission is complementary to the dispatch in paper form and concerns

- i. the reports on annual accounts (the report on annual accounts and the annual long form audit report) defined in Circular CSSF 01/27 relating to the practical rules concerning the role of *réviseurs d'entreprises* (statutory auditors);
- ii. the ICAAP defined in Circular CSSF 07/301;
- iii. the summary reports of the internal control functions defined in Circular CSSF 12/552 (point 116) as well as the statement of the authorised management on compliance with that circular (point 61);
- iv. the statement of the authorised management on compliance with Circular CSSF 13/555 (point 12); and
- v. the recovery plans laid down in Directive 2014/59/EU for the credit institutions subject to this obligation.

The documents received via electronic means must allow ad hoc research, cross-sectional analyses and comparison over time. Their format must thus be compatible with the office tools used at the CSSF and not prevent reading access, printing and

selecting (*copy*). Therefore, the files shall be sent in PDF format with the above actions enabled through the options selected in the "save as" window.

For the electronic transmission the file name convention as described in the annexe shall be complied with.

The content of the submitted electronic document shall of course be identical to the paper version of the same document submitted to the CSSF.

This circular enters into force on 31 December 2015.

Yours faithfully,

COMMISSION DE SURVEILLANCE DU SECTEUR FINANCIER

Claude SIMON
Director

Andrée BILLON
Director

Simone DELCOURT
Director

Jean GUILL
Director General

Annexe: File name convention to comply with for electronic transmission

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The file names of the different reportings are described in the [name convention](#) of the CSSF which is available on the CSSF website under Supervision/Legal reporting/File transport and data protection.

The format to comply with is:

TYRDIR-ENNNNNNNN-CCCCCCCC-PPPP-YYYY-MM-DD-DO-LL-III.ext

Meaning of the different codes and authorised values for the documents to be transmitted in the framework of this circular:

Code	Meaning	Structure	Authorised values
TYR	Reporting type	Char(3)	'DOC' for 'Non-structured documents'
DIR	Management	Char(3)	'REP' for 'Report' file sent to the CSSF 'FBR' for 'Feedback on Reception' the acknowledgement of receipt sent by the CSSF
E	Entity type	Char(1)	'B' for 'Banks'
NNNNNNNN	Identification number	Number(8)	00000001...99999999 CSSF identifier of the Bank
CCCCCCCC	Compartment number	Number(8)	Constant '00000000'
PPPP	Unit type	Number(4)	Constant '0000'
YYYY	Year	Number(4)	Year
MM	Month	Number(2)	Month
DD	Day	Number(2)	Day
DO	Document type	Char(2)	'AR' for <i>Annual Report</i> 'CO' for <i>Compliance Report</i> 'GR' for <i>Governance Respect</i> 'IA' for <i>Internal Audit Report</i> 'IC' for <i>ICAAP</i> 'LF' for <i>Long Form Report</i> 'ML' for <i>Management Letter</i> 'RC' for <i>Risk Control Report</i> 'RP' for <i>Recovery Plan</i> 'SC' for <i>Single Customer View</i>
LL	Document language	Char(2)	Language code ISO 639-1 (alpha-2) e.g. EN=English, FR=Français, DE=Deutsch, LB=Luxembourgeois
III	Number Annexe	Number(4)	'0000' – Main document 'nnnn' – Annexe number nnnn
.ext	Extension	Char(5)	'pdf' (PDF)