

SOFIE Sort - ATLAS: Reporting covered

Informations : In order to determine the exact type(s) of report(s) your company has to send to the regulations authorities, we advise to contact them first.

Based on their answers you'll be able to determine which package you need to apply for your SOFIE Sort contract. A package, also called a module, is a right permission for a family of reports granted as a yearly licence for 1 entity. SOFIE Sort packages were organised and compiled in order to respond exactly to the various regulators demands and circulars in regard to the Legal Reporting at Luxembourg.

Packages can be added or removed on demand Licences costs are divided as follows : 1 crypt licence by entities From 1 to X transport licences by type of package.

Contact : reporting@cetrel-securities.lu

Insurance corporations

| Report | Full name | Related information | Circular | Package/Procedure |
|----------|--|---------------------|--------------------------|-------------------|
| S 2.18 L | Quarterly statistical balance for insurance corporations | BCL | 2015/239 | INST |
| S 2.19 L | Information on valuation effect on the balance sheet of insurance corporations | BCL | 2015/239 | INST |
| S 4.3 L | Annual premiums, claims and commissions of insurance corporations | BCL | 2015/239 | INST |
| TPTASS | Security by security reporting of insurance corporations | BCL | 2015/239 | INST |
| CPR | Progress report | CAA | 15/10 | CAAT |
| RAC | Actuarial report | CAA | 15/10 | CAAT |
| RDI | Auditor's report | CAA | 15/10 | CAAT |
| RGO | Governance report | CAA | 15/10 | CAAT |
| RLB | LBCFT report | CAA | 15/10 | CAAT |
| RRE | Reports on complaints handling | CAA | 15/10 | CAAT |
| ESP | Specific inquiries | CAA | 15/10 | CAAT |
| SII | Solvency II | CAA | 15/10 | CAAT |
| ETR | Quarterly statement | CAA | 15/10 | CAAT |

Investment funds

| Report | Full name | Related information | Circular | Package/Procedure |
|-------------------------|---|---|--------------------------|-------------------|
| SOFIE SORT Fund Package | General set-up [once per technical sender] | | | TRAM |
| ATLAS | Used for reporting via procedures [once per technical sender] | | | N/A |
| Initial Notification | Management Regulations or Articles of incorporation | CSSF | 11/509 | NOTI |
| | Full prospectus | CSSF | 11/509 | NOTI |
| | KIID | CSSF | 11/509 | NOTI |
| | Annual report or semi-annual report (latest) | CSSF | 11/509 | NOTI |
| | Marketing Arrangements (optional) | CSSF | 11/509 | NOTI |
| | Confirmation of payment (optional) | CSSF | 11/509 | NOTI |
| | Notification Letter | CSSF | 11/509 | NOTI |
| AIFM | CSSF attestation letter | CSSF | 11/509 | NOTI |
| | Demande d'attestation | Article 54(4) of the Fund Law | | NOTI |
| AIFM | AIFM reporting file | CSSF | 14/581 | AIFT |
| AIF | AIF reporting file | CSSF | 14/581 | AIFT |
| S 1.3 & S2.13 | Statistical balance sheet for investment funds | BCL | 2014/237 | OPCT/5019 |
| S 1.6 | Information on valuation effects on the balance sheet for non monetary investment funds | BCL | 2014/237 | OPCT/5019 |
| TPTOBS | Security by security reporting for investment funds | BCL | 2014/237 | OPCT/5019 |
| O 1.1 | Monthly financial information for guaranteed funds | BCL | 2014/237 | FINT/5019 |
| O 1.2 | Monthly financial information | CSSF | 97/136 | FINT |
| O 1.1 | Monthly financial information | CSSF | 15/627 | FDPS/50000 |
| O 4.1 | Yearly financial information | CSSF | 97/136 | 5019 |
| O 4.2 | Interventions on the futures and options markets | CSSF | 97/136 | 5019 |
| SGOREP | Remise de rapports finaux d'une société de gestion | CSSF | | 5007 |
| SGOREP | Agrément d'une société de gestion (chap 13 et 14) | CSSF | | 5005 |
| SGOREP | Demandes divers d'ordre général | CSSF | | 5010 |
| SGOREP | Information diverse d'ordre général | CSSF | | 5011 |
| LF | Long form report | CSSF | 09/423 | 10031 |
| ML | Management Letter | CSSF | 09/423 | 5012 |
| AR | Other review report | CSSF | 09/423 | 10031/5012 |
| PC | Full prospectus | CSSF | 08/371 | 10032/10030 |
| DE | Offering Document | CSSF | 08/371 | 10032/10030 |
| RA | Annual report | CSSF | 08/371 | 10033/5004 |
| RS | Semi-Annual report | CSSF | 08/371 | 10033/5004 |
| KI | Agrément d'un nouvel OPC | CSSF | | 5001 |
| | Demande de remise d'attestations | CSSF | | 5072 |
| | Modification d'un OPC existant | CSSF | | 5002 |
| | Modification d'un ensemble d'OPC existants | CSSF | | 5003 |
| | Modification d'une société de gestion | CSSF | | 5006 |
| | Reporting électronique SIAG | CSSF | | 10035 |
| | Modification dans le cadre de la Circulaire 2002/77 | CSSF | | 5009 |
| | Remise de règlements de gestion / statuts | CSSF | | 5071 |
| | Demandes divers d'ordre général | CSSF | | 5010 |
| | Information diverse d'ordre général | CSSF | | 5011 |
| | KIID | CSSF | 08/371 | 5070 |
| MMF37 | MMF Report | CSSF | 20/734 | 1366 |
| | Lettre d'explication | CSSF | 19/708 | 5555 |
| | Managment letters | CSSF | 19/708 | 5555 |
| | Réponse à la CSSF | CSSF | 19/708 | 5555 |

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|--------|---|------|--------|------|
| GR | Fonction gestion risques | CSSF | 19/708 | 5556 |
| ID | Informations instruments OPCVM | CSSF | 19/708 | 5556 |
| FC | Fonction compliance | CSSF | 19/708 | 5556 |
| IA | Rapport sur la fonction d'audit interne | CSSF | 19/708 | 5556 |
| BC | Obligation LBC/FT | CSSF | 19/708 | 5556 |
| TP | Traitement des plaintes | CSSF | 19/708 | 5556 |
| LP | Tiers autorisés plaintes | CSSF | 19/708 | 5556 |
| PG | Procédure gestion risques | CSSF | 19/708 | 5556 |
| OG | Organigramme | CSSF | 19/708 | 5556 |
| TM | Tableau mandats | CSSF | 19/708 | 5556 |
| RD | Déléataires du GFI | CSSF | 19/708 | 5556 |
| AS | Activité succursale | CSSF | 19/708 | 5556 |
| FP | Ratio fonds propres | CSSF | 19/708 | 5556 |
| PN | Réponse à la CSSF | CSSF | 19/708 | 5556 |
| | Procédure gestion risques AIFM | CSSF | 19/708 | 5556 |
| | Board of Directors' minutes | CSSF | 19/708 | 5556 |
| | Conducting officers' minutes in which AML/CFT topic was discussed | CSSF | 19/708 | 5556 |
| | The proof(s) that all employees attended an AML/CFT training | CSSF | 19/708 | 5556 |
| | Lettre d'explication | CSSF | 19/708 | 5007 |
| | Rapport divers | CSSF | 19/708 | 5007 |
| | Rapport du réviseur | CSSF | 19/708 | 5007 |
| | Rapport société de gestion annuel | CSSF | 19/708 | 5007 |
| | Rapport société de gestion autre périodicité | CSSF | 19/708 | 5007 |
| | Rapport société de gestion semestriel | CSSF | 19/708 | 5007 |
| | Réponse à la CSSF | CSSF | 19/708 | 5007 |
| SICREP | Table K 3.1 | CSSF | 08/376 | SICT |
| SGOREP | Quarterly reporting / annual information [financial situation (table SG 1A), profit and loss account (table SG 1B), table regarding the management of UCIs (table SG 1C), table regarding other activities (table SG 2) and quarterly staff figures (table SG Personnel)] | CSSF | 15/633 | SGOT |

* If "Fund Prudential & Statistics Package" is subscribed, the SICREP package is discounted

Financial companies

| Report | Full name | Related information | Circular | Package/Procedure |
|--------|---|---------------------|-------------------------|-------------------|
| S 2.16 | Quarterly statistical balance sheet of financial companies | BCL | 2014/17 | ISRT/IBST |
| S 2.17 | Transactions of financial companies | BCL | 2014/17 | ISRT/IBST |
| TPTIBS | Monthly security by security reporting of financial companies | BCL | 2014/17 | ISRT/IBST |

Credit institutions

| Report | Full name | Related information | Circular | Package/Procedure |
|----------|---|----------------------|--------------------------|-------------------|
| S 0.1 | Daily deposit report | BCL | 2014/235 | RPQT |
| S 1.1 | Monthly statistical balance sheet | BCL | 2014/235 | FINT |
| S 1.12 | Indirect withdrawal and remittance of banknotes denominated in EUR through an intermediary | BCL | 2014/235 | FINT |
| S 1.12 L | Indirect withdrawal and remittance of banknotes denominated in EUR through an intermediary | BCL | 2014/235 | FINT |
| S 1.4 | Adjustments due to valuation effects | BCL | 2014/235 | FINT |
| S 1.5 | Information on interest rates in EUR | BCL | 2014/235 | FINT |
| S 1.8 | Information on securitisation transactions launched by credit institutions | BCL | 2014/235 | FINT |
| S 1.9 | Information on CNY (renmibi) operations | BCL | 2014/235 | FINT |
| S 2.5 | Quarterly statistical balance sheet | BCL | 2014/235 | FINT |
| S 2.8 | Real estate loans for Luxembourg buildings | BCL | 2014/235 | FINT |
| S 2.9 | Staff | BCL | 2014/235 | FINT |
| S 3.2 | Non balance sheet information | BCL | 2014/235 | FINT |
| S 4.1 | Non balance sheet information | BCL | 2014/235 | FINT |
| TPTBBL | Balance sheet data – Luxembourg entity | BCL | 2014/235 | TPTT |
| TPTBBN | Balance sheet data – Luxembourg entity and its branches | BCL | 2014/235 | TPTT |
| TPTBHR | Off-balance sheet data – resident customers | BCL | 2014/235 | TPTT |
| TPTBHN | Off-balance sheet data – non resident customers | BCL | 2014/235 | TPTT |
| BOP | Cross-border payments executed for the account of the resident counterparts | BCL | 2007/216 | FINT |
| V101 | Customer transfers | BCL | 2011/9 | VIRT |
| V102 | Interbank transfers | BCL | 2011/9 | VIRT |
| V103 | Domiciliations | BCL | 2011/9 | VIRT |
| V104 | Inventory cards / terminals | BCL | 2011/9 | VIRT |
| V105 | Card transactions (Issuing part) | BCL | 2011/9 | VIRT |
| V106 | Card transactions (Acquiring part) | BCL | 2011/9 | VIRT |
| V107 | Cheques and money orders | BCL | 2011/9 | VIRT |
| V108 | Electronic money scheme | BCL | 2011/9 | VIRT |
| V109 | Card based e-money schemes | BCL | 2011/9 | VIRT |
| V110 | Stock taking of payment accounts in bank money | BCL | 2011/9 | VIRT |
| V111 | OTC cash transactions | BCL | 2011/9 | VIRT |
| V112 | Transactions via telecommunication, digital or IT device | BCL | 2011/9 | VIRT |
| V113 | Credits to the accounts by simple book entry | BCL | 2011/9 | VIRT |
| V114 | Debits from the account by simple book entry | BCL | 2011/9 | VIRT |
| V115 | Payment services activity provided by E-money institutions and Payment institutions | BCL | 2011/9 | VIRT |
| ANTREF | For counterparty reference data survey | BCL | 2017/240 | ANCT |
| ANTT1M | For credit data surveys | BCL | 2017/240 | ANCT |
| SHSGRP | For credit data surveys | BCL | 2017/240 | SHST |
| B 1.1 | FINREP - Balance sheet statement | CSSF | 07/279 | FINT |
| B 1.5 | Liquidity ratio | CSSF | 07/316 | FINT |
| B 1.6 | FINREP - Additional information relating to the balance sheet statement | CSSF | 07/279 | FINT |
| B 2.1 | FINREP - Income statement | CSSF | 07/279 | FINT |
| B 2.4 | Information on participating interests and subordinated loans | CSSF | 07/316 | FINT |
| B 2.5 | FINREP - Additional information relating to the income statement | CSSF | 07/279 | FINT |
| B 4.4 | List of head offices, agencies, branches and representative offices | CSSF | 07/316 | FINT |
| COFREP | extended COREP : SCOREP / SLEVER / SLAREX / SLCRXX / SLCRDA / SNSFRX / SALMXX CCOREP / CLEVER / CLAREX / CLCRXX / CLCRDA / CNSFRX / CALMXX CFINRP / SFINRP / CAEXXX / SAEXXX / CFPXXX / SFPXXX / CSBPCR / SSBPCR CSBPRM / SSBPRM / CSBPIM / SSBPIM / CCOVID / SCOVID / PSDFRP / REMXXX REMHX / CRESOL / SRESOL / CCFCON / CCFPOE / SCFIND / CCFRES / SCIIND CFMCON / CLDCON / CLDPOE / SLDOH / SLDPOE / CLDRES | CSSF | 680/2014 | FINT |
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| SUFREP | SUF –XBRL reportings for subfund-based structured products | CSSF | | FINT |
| CSDR | Reporting CSDR-9 | CSSF | 19/709 | 7009 |
| TAFREP | Transaction in financial instruments reporting (TAF) / MiFID (encoding interface available) | CSSF | 07/302 | TAFT/6000 |

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|----|--|------|------------------------|------|
| AC | Rapport du réviseur concernant AML/CTF | CSSF | 19/731 | DOCR |
| AD | Annexe 1 de la circulaire CSSF 18/697 (dépositaires de fonds) | CSSF | 19/731 | DOCR |
| AI | Article of incorporation | CSSF | 11/509 | DOCR |
| AR | Annual report | CSSF | 19/731 | DOCR |
| AS | Consolidated Annual report | CSSF | 19/731 | DOCR |
| AT | CSSF attestation | CSSF | 11/509 | DOCR |
| BD | liste des membres du Conseil d'Administration | CSSF | 19/731 | DOCR |
| CO | Compliance Report | CSSF | 19/731 | DOCR |
| CP | Confirmation payment | CSSF | 11/509 | DOCR |
| GR | Governance Respect | CSSF | 19/731 | DOCR |
| IA | Internal Audit Report | CSSF | 19/731 | DOCR |
| IC | ICAAP | CSSF | 19/731 | DOCR |
| ID | ICAAP consolidé | CSSF | 19/731 | DOCR |
| IL | ILAAP | CSSF | 19/731 | DOCR |
| IM | Consolidated ILAAP | CSSF | 19/731 | DOCR |
| KI | KIID | CSSF | 11/509 | DOCR |
| LC | Consolidated Long Form Report | CSSF | 19/731 | LFML |
| LD | Subsidiary Long Form Report | CSSF | 19/731 | LFML |
| LF | Long Form Report | CSSF | 19/731 | LFML |
| LG | Reconciliation LuxGAAP FINREP | CSSF | 19/731 | DOCR |
| LN | Letter of notifications | CSSF | 11/509 | DOCR |
| MC | Consolidated Management Letter | CSSF | 19/731 | LFML |
| MF | Rapport du réviseur concernant le respect des règles de conduite | CSSF | 19/731 | DOCR |
| ML | Management Letter | CSSF | 19/731 | LFML |
| MM | Annual report Maison-Mère | CSSF | 19/731 | DOCR |
| MP | Marketing provisions | CSSF | 11/509 | DOCR |
| MR | Management regulation | CSSF | 11/509 | DOCR |
| PC | Full prospectus | CSSF | 11/509 | DOCR |
| PS | Simplified prospectus | CSSF | 11/509 | DOCR |
| RC | Risk Control Report | CSSF | 19/731 | DOCR |
| RE | Rapport de synthèse relatif à la résolution extrajudiciaire des réclamations | CSSF | 19/731 | DOCR |
| RP | Recovery Plan | CSSF | 19/731 | DOCR |
| RR | Répartition des résultats | CSSF | 19/731 | DOCR |
| SC | Single Customer View | CSSF | 19/731 | DOCR |
| SR | Semi-annual report | CSSF | 11/509 | DOCR |
| TR | Tableau Relatif à la résolution extrajudiciaire des réclamations | CSSF | 19/731 | DOCR |

Securitisation vehicles

| Report | Full name | Related information | Circular | Package/Procedure |
|--------|--|---------------------|--------------------------|-------------------|
| S 2.14 | Quarterly statistical balance sheet of securitisation vehicles | BCL | 2014/236 | TTRT |
| S 2.15 | Information on transactions made by securitisation vehicles | BCL | 2014/236 | TTRT |
| TPTTBS | Security by security reporting of securitisation vehicles | BCL | 2014/236 | TTRT |

Professionals of the financial sector (PFS)

| Report | Full name | Related information | Circular | Package/Procedure |
|--------|---|----------------------|--------------------------|-------------------|
| PSFREP | Basic reporting - TAB I BILAN, TAB III.1 HORS BILAN, TAB III.2 PP , TAB 2.9 EFFECTIF | CSSF | 05/187 | PSFT |
| PSFREP | Ad hoc reporting - Tables II.1. to II.22. extended COREP : SCOREP / SLAREX / SLCRXX / SNSFRX / SALMXX CCOREP / CLAREX / CLCRXX / CNSFRX / CALMXX CFINRP / CAEXXX / SAEXXX / CFPXXX / SFPXXX CSBPXX / SSBPXX / CSBPIM / SSBPIM / SFINRP SLCRDA / CLCRDA | CSSF | 05/187 | PSFT |
| COFREP | | CSSF | 680/2014 | FINT |
| LF | Long Form Report | CSSF | 15/624 | LFML |
| ML | Management Letter | CSSF | 15/624 | LFML |

SICAR

| Report | Full name | Related information | Circular | Package/Procedure |
|---------------|---|----------------------|--------------------------|-------------------|
| SICREP | Table K 3.1 | CSSF | 08/376 | SICT |
| S 1.3 & S2.13 | Statistical balance sheet for investment funds | BCL | 2014/237 | FINT |
| S 1.6 | Information on valuation effects on the balance sheet for non monetary investment funds | BCL | 2014/237 | FINT |
| TPTOBS | Security by security reporting for investment funds | BCL | 2014/237 | FINT |
| U 1.1 | Monthly financial information | CSSF | 15/627 | 50000 |

Management companies (Chapter 15 & 16)

| Report | Full name | Related information | Circular | Package/Procedure |
|--------|---|----------------------|------------------------|-------------------|
| SGOREP | Quarterly reporting / annual information [financial situation (table SG 1A), profit and loss account (table SG 1B), table regarding the management of UCIs (table SG 1C), table regarding other activities (table SG 2) and quarterly staff figures (table SG Personnel)] | CSSF | 10/467 | SGOT |

Payment institutions

| Report | Full name | Related information | Circular | Package/Procedure |
|--------|--|----------------------|------------------------|-------------------|
| Z 1.1 | Balance sheet | CSSF | 11/511 | EDPT |
| Z 1.2 | Identification of third-party funds held and incorporated in the balance sheet | CSSF | 11/511 | EDPT |
| Z 1.4 | Capital adequacy of payment institutions | CSSF | 11/511 | EDPT |
| Z 2.1 | Profit and loss account | CSSF | 11/511 | EDPT |

Electronic money institutions

| Report | Full name | Related information | Circular | Package/Procedure |
|--------|--|----------------------|------------------------|-------------------|
| W 1.1 | Balance sheet | CSSF | 11/522 | EMET |
| W 1.2 | Identification of third-party funds held and incorporated in the balance sheet | CSSF | 11/522 | EMET |
| W 1.3 | Statement of authorised reinvestments | CSSF | 11/522 | EMET |
| W 1.4 | Capital adequacy of electronic money institutions | CSSF | 11/522 | EMET |
| W 2.1 | Profit and loss account | CSSF | 11/522 | EMET |
| W 4.5 | Analysis of shareholdings | CSSF | 11/522 | EMET |

Other reporting - Specific enquiries

| Report | Full name | Related information | Circular | Package/Procedure |
|--------|------------------------------------|---------------------|------------------------|-------------------|
| OTHREP | CSSF - Others - specific inquiries | | 08/344 | ESPT |
| OTXREP | BCL - Others - specific inquiries | | 08/344 | ESPT |