

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
	Management Regulations or Articles of incorporation	CSSE	11/509	NOTI
	Full prospectus	CSSE	11/509	NOTI
	KIID	CSSE	11/509	NOTI
Initial Notification	Annual report or semi-annual report (latest)	CSSE	11/509	NOTI
	Marketing Arrangements (optional)	CSSE	11/509	NOTI
	Confirmation of payment (optional)	CSSE	11/509	NOTI
	Notification Letter	CSSE	11/509	NOTI
	CSSF attestation letter	CSSE	11/509	NOTI
	Demande d'attestation	CSSE	11/509	NOTI
AIFM	AIFM reporting file	CSSE	14/581	AIFT
AIF	AIF reporting file	CSSE	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		BCL	2014/237	OPCT/5019
O 1.2	Monthly financial information for guaranteed funds	CSSE	97/136	OPCT
U 1.1	Monthly financial information	CSSE	15/627	FDP5/50000
O 4.1	Yearly financial information	CSSE	97/136	5019
O 4.2	Interventions on the futures and options markets	CSSE	97/136	5019
SGOREP	Remise de rapports finaux d'une société de gestion	CSSE		5007
SGOREP	Agrément d'une société de gestion (chap 13 et 14)	CSSE		5005
SGOREP	Demandes divers d'ordre général	CSSE		5010
SGOREP	Information diverse d'ordre général	CSSE		5011
LF	Long form report	CSSE	09/423	10031
ML	Management Letter	CSSE	09/423	5012
AR	Other review report	CSSE	09/423	10031/5012
PC	Full prospectus	CSSE	08/371	10032/10030
DE	Offering Document	CSSE	08/371	10032/10030
RA	Annual report	CSSE	08/371	10033/5004
RS	Semi-Annual report	CSSE	08/371	10033/5004
	Agrément d'un nouvel OPC	CSSE		5001
	Demande de remise d'attestations	CSSE		5072
	Modification d'un OPC existant	CSSE		5002
	Modification d'un ensemble d'OPC existants	CSSE		5003
	Modification d'une société de gestion	CSSE		5006
	Reporting électronique SIAG	CSSE		10035
	Modification dans le cadre de la Circulaire 2002/77	CSSE		5009
	Remise de règlements de gestion / statuts	CSSE		5071
	Demandes divers d'ordre général	CSSE		5010
	Information diverse d'ordre général	CSSE		5011
KI	KIID	CSSE	08/371	5070
SICREP	Table K 3.1	CSSE	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)]	CSSE	10/467	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 1.4	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 counterpart	BCL	2007/216	FINT
V101	Customer transfers	BCL	2014/9	VIRT
V102	Interbank transfers	BCL	2014/9	VIRT
V103	Domiciliations	BCL	2014/9	VIRT
V104	Inventory cards / terminals	BCL	2014/9	VIRT
V105	Card transactions (Issuing part)	BCL	2014/9	VIRT
V106	Card transactions (Acquiring part)	BCL	2014/9	VIRT
V107	Cheques and money orders	BCL	2014/9	VIRT
V108	Electronic money scheme	BCL	2014/9	VIRT
V109	Card based e-money schemes	BCL	2014/9	VIRT
V110	Stock taking of payment accounts in bank money	BCL	2014/9	VIRT
V111	OTC cash transactions	BCL	2014/9	VIRT
V112	Transactions via telecommunication, digital or IT device	BCL	2014/9	VIRT
V113	Credits to the accounts by simple book entry	BCL	2014/9	VIRT
V114	Debits from the account by simple book entry	BCL	2014/9	VIRT
ANTREF	For counterparty reference data survey	BCL	2017/240	ANCT
ANTTIM	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 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	07/316	FINT
COFREP		CSSF	680/2014	FINT
TAFREP	Transaction in financial instruments reporting (TAF) / MIFID (encoding interface available)	CSSF	07/302	TAF7/6000
AR	Annual report	CSSF	15/624	DOCR
CO	Compliance Report	CSSF	15/624	DOCR
GR	Governance Report	CSSF	15/624	DOCR
IA	Internal Audit Report	CSSF	15/624	DOCR
IC	ICAAP	CSSF	15/624	DOCR
LF	Long Form Report	CSSF	15/624	LFML
ML	Management Letter	CSSF	15/624	LFML
RC	Risk Control Report	CSSF	15/624	DOCR
RP	Recovery Plan	CSSF	15/624	DOCR
SC	Single Customer View	CSSF	15/624	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.	CSSF	05/187	PSFT
COFREP	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	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	OPCT
S 1.6	Information on valuation effects on the balance sheet for non monetary investment funds	BCL	2014/237	OPCT
TPTOBS	Security by security reporting for investment funds	BCL	2014/237	OPCT
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 enquiries		08/344	ESPT
OTXREP	BCL - Others - specific enquiries		08/344	ESPT