



WEBINAR

CHANGES TO CSSF'S AIFMD ANNEX IV FILING METHOD

Impact for e-file users, step-by-step demo
of what needs to be done and Q&A

With experts Maxime Aerts, Diana Cutolo and Annael Fleury

November 2023



WELCOME

Diana Cutolo
Key Account Manager

OUR EXPERT TEAM TODAY



Maxime Aerts

Head of Asset Management
Product Strategy
FE fundinfo



Diana Cutolo

Key Account Manager
FE fundinfo



Annael Fleury

Product Manager
FE fundinfo

AGENDA

- 1 | Introduction - the CSSF transmission channel change and the FE fundinfo
- 2 | Step-by step: How to onboard the S3 bucket keys in e-file to ensure continuity
- 3 | Step-by-step: How to generate the S3 keys on e-desk
- 4 | Step-by-step: How to get support with the set-up via IT expert role delegation
- 5 | Q&A

INTRODUCTION

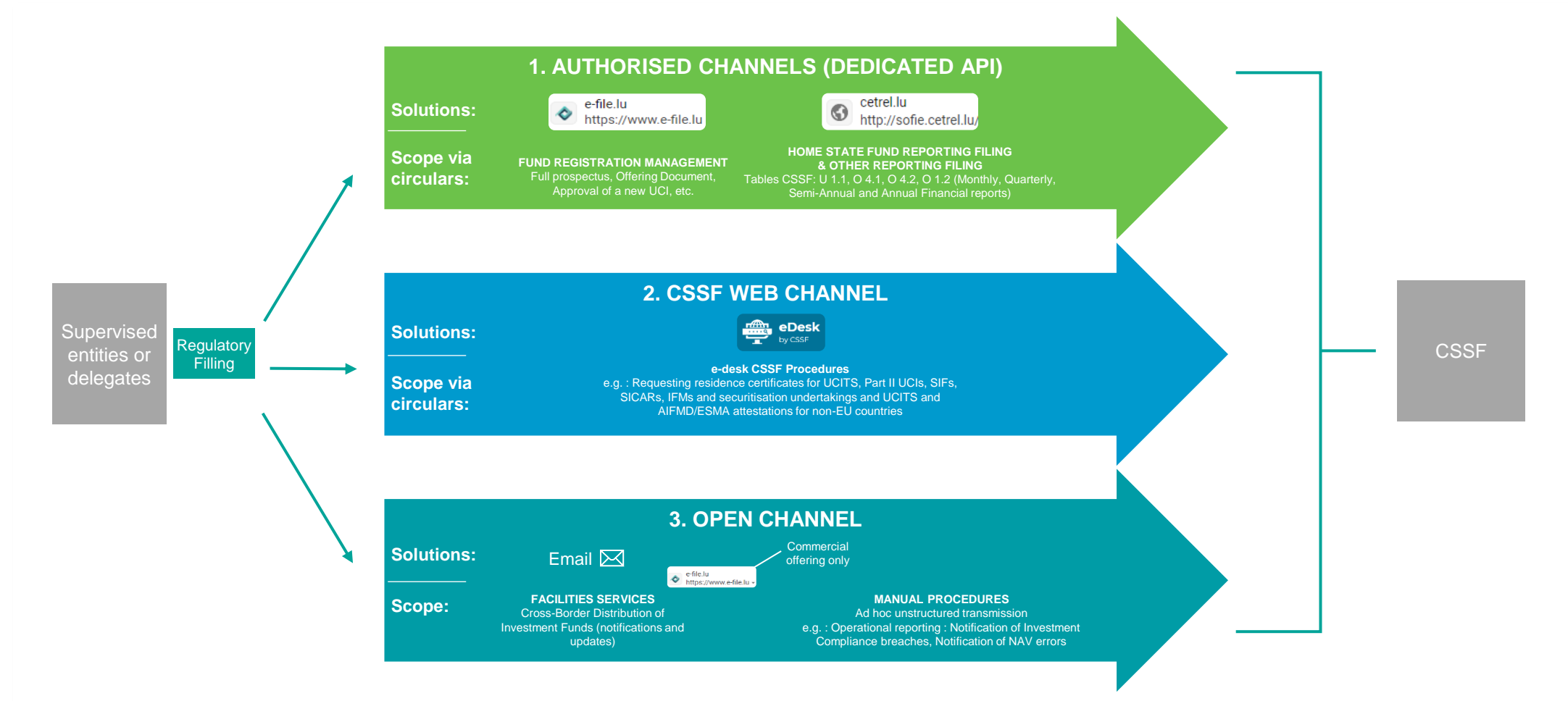
Maxime Aerts

Head of Asset Management
Product Strategy

THE CSSF TRANSMISSION CHANNEL CHANGE AND THE FE FUNDINFO MODEL

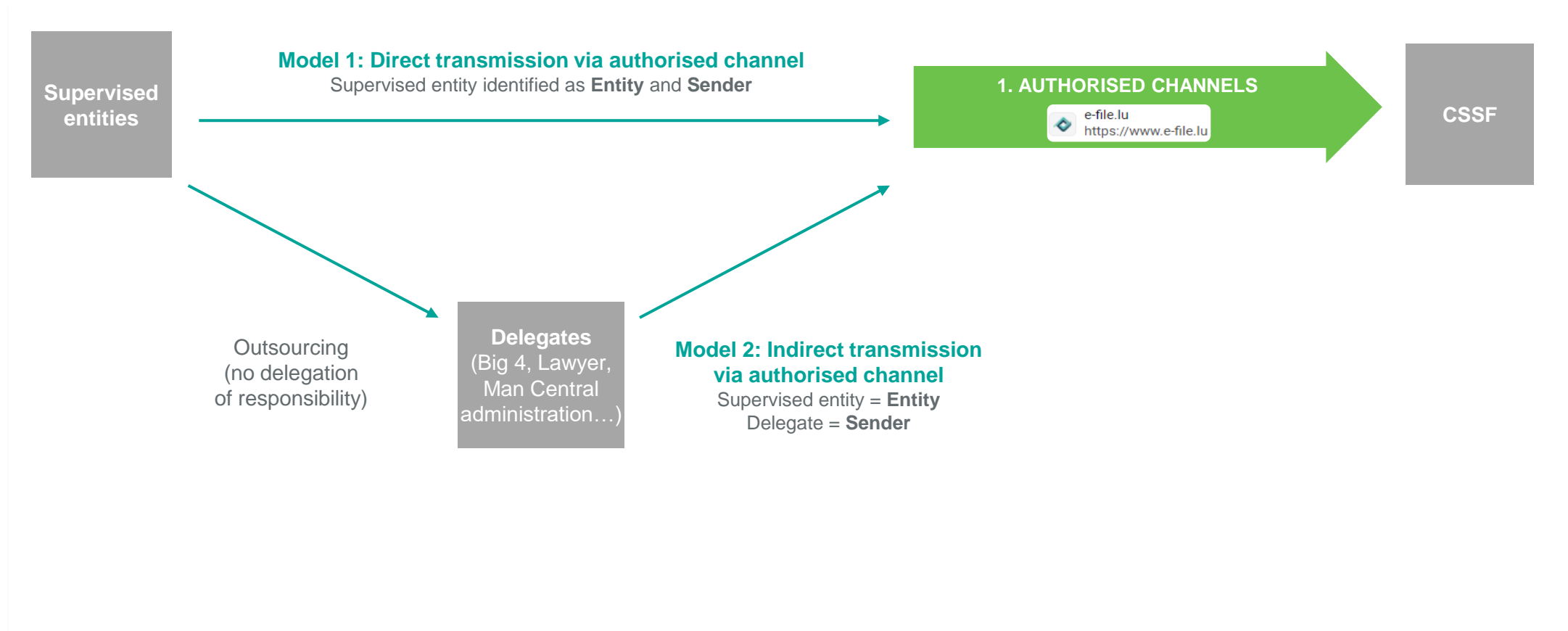
CURRENT COMMUNICATION CHANNELS WITH THE CSSF

Overview of current transmission channels to the CSSF



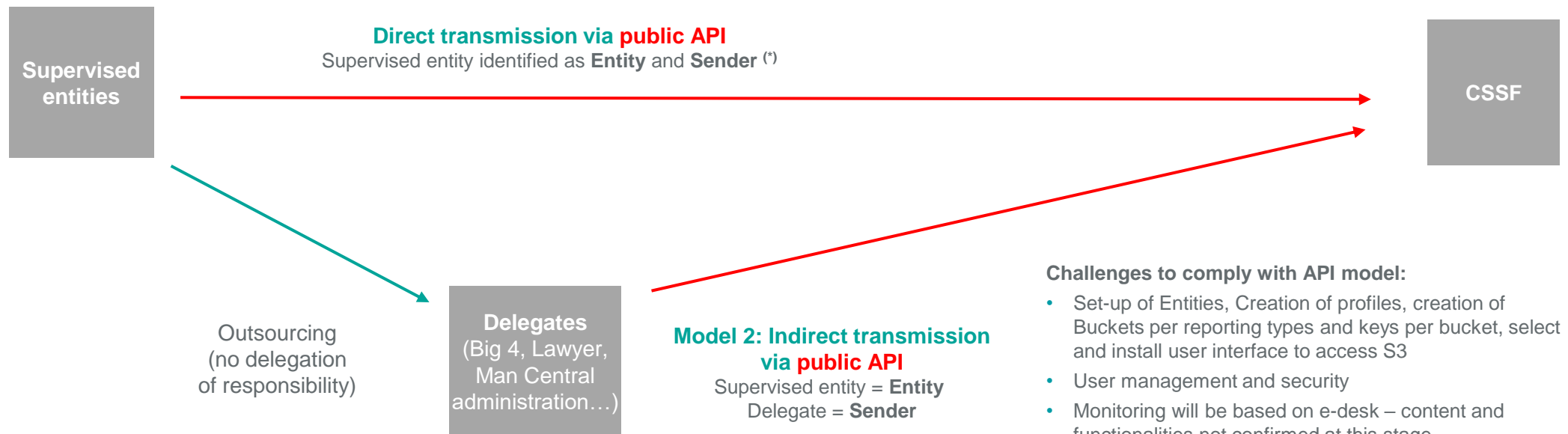
FOCUS ON THE AUTHORISED CHANNEL MODEL

Presentation of the current model



THE S3 CHANNEL MODEL

To-Be model and possibility to report directly via public API



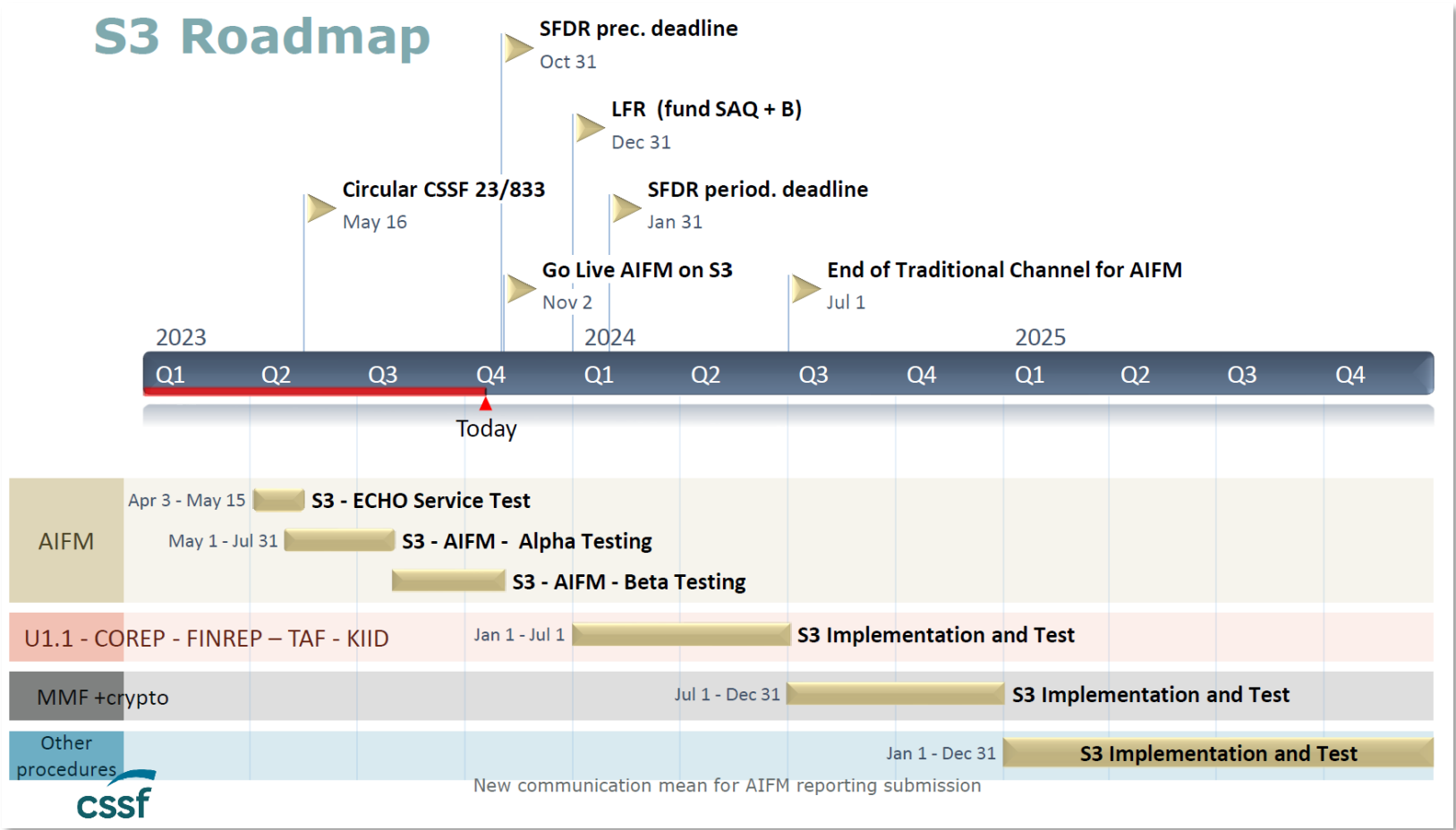
Challenges to comply with API model:

- Set-up of Entities, Creation of profiles, creation of Buckets per reporting types and keys per bucket, select and install user interface to access S3
- User management and security
- Monitoring will be based on e-desk – content and functionalities not confirmed at this stage
- Audit trail in S3 is limited and mainly based on selected user interface. e-desk adds another layer of control, but at this stage user actions monitoring is not confirmed
- Change management over time: AIFMD reporting is the 1st one of a series – see following slide

References:

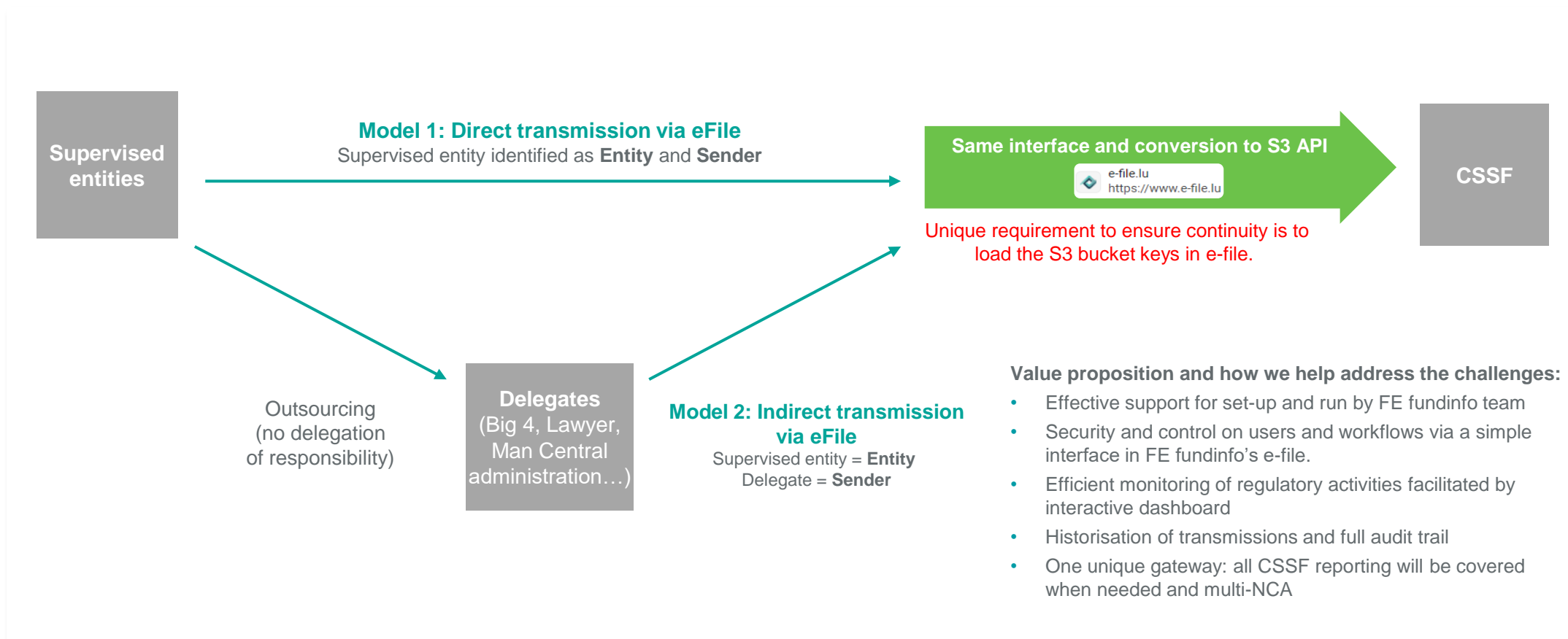
(*) Naming convention including Entity and sender codes remain valid for AIFMD reporting

THE S3 CHANNEL ROADMAP



FE FUNDINFO PROPOSED MODEL WITH E-FILE

How we ensure continuity for our clients and limit our client efforts



DEMO

Annael Fleury
Product Manager

STEP-BY STEP: HOW TO ONBOARD THE S3 BUCKET KEYS IN E-FILE TO ENSURE CONTINUITY

HOW TO ONBOARD S3 KEYS ON E-FILE

Introduction

> What do I need?

- A LuxTrust Pro Device and password and access to your IT Expert User Account within e-desk. You will also need to have access to your e-file Admin account. Please note this is different to the LuxTrust certificate needed for e-file

> Is this going to change anything on my e-file system?

- No, the only change relates to the secure storage of access keys within a new e-file module that is included in your existing package

> What can I do if this does not work:

- Contact your account manager or the Luxembourg helpdesk who can assist with any issues

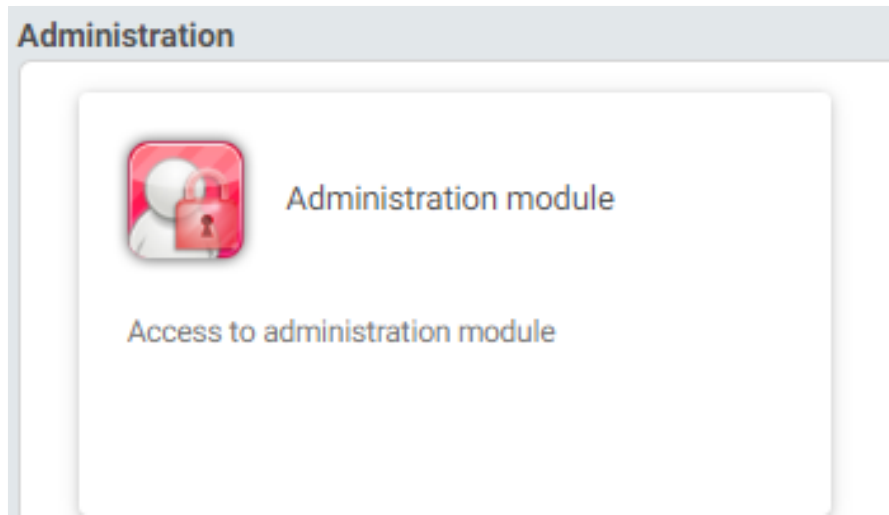
> Do I have to do this now or can I wait until later:

- We strongly recommend doing the proposed steps as soon as possible to make sure you are fully compliant

FE fundinfo experts can provide support when needed, details will be presented in sections 3 and 4

HOW TO ONBOARD S3 KEYS ON E-FILE

Step 1



- Log into e-file (e-file.lu) with the administrator account of the company and open the Administration module in the launchpad
- Remark: it is a prerequisite to have the entity set-up in e-file – a specific webinar on this topic will be organised in the coming days

HOW TO ONBOARD S3 KEYS ON E-FILE

Step 2

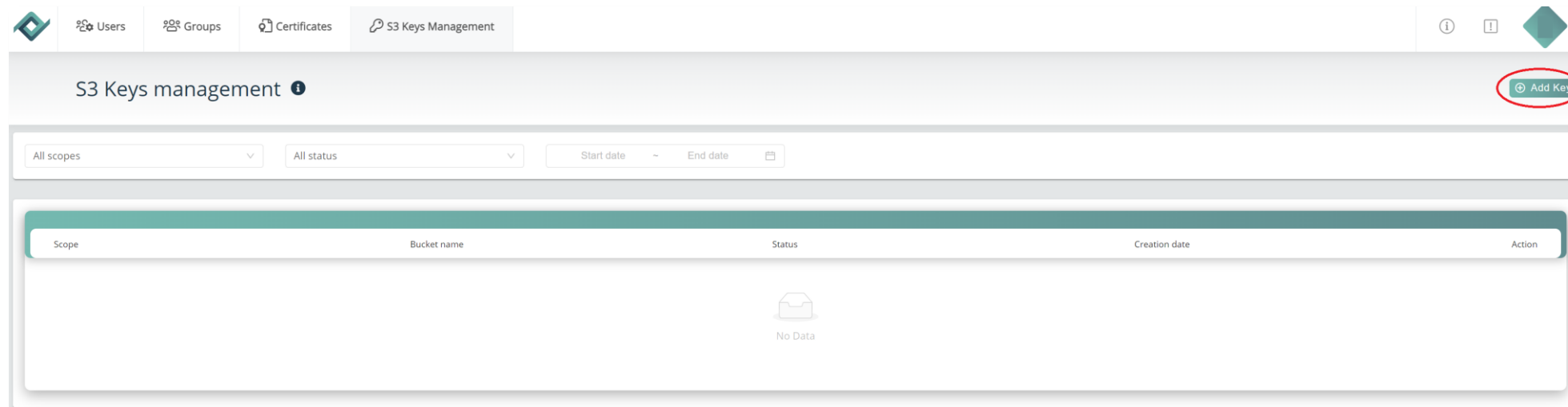
When the Administration module is launched, a menu will be available in the header “S3 Keys Management”



HOW TO ONBOARD S3 KEYS ON E-FILE

Step 3

When selecting this menu in the header, this page will load:
To add new S3 keys for your company, click on the button “Add Key”



HOW TO ONBOARD S3 KEYS ON E-FILE

Step 4

A screenshot of a web form titled "ADD CSSF S3 KEYS" with a close button (X) in the top right corner. The form contains four input fields, each with a label, a red asterisk, and an information icon (i). The first field is a dropdown menu labeled "Scope". The second is a text input labeled "Bucket name". The third is a text input labeled "Access key". The fourth is a text input labeled "Secret key".

ADD CSSF S3 KEYS

Scope *

Bucket name *

Access key *

Secret key *

A drawer will appear with a form to fill with different information to provide:

- Scope
- Bucket name
- Access key
- Secret key

HOW TO ONBOARD S3 KEYS ON E-FILE

Step 4 (cont'd)

The screenshot shows the 'S3 ACCESS DASHBOARD' with a 'Back to dashboard' link. The main section is titled 'S3 access of 12 - Echo'. It contains a table with columns for 'Company', 'Scope', 'Revoked by', and 'Revoked at'. The 'Scope' column is highlighted. Below the table, there are four input fields: 'Bucket:', 'Access key:', 'Secret key:', and 'Secret key:'. The 'ADD CSSF S3 KEYS' form is overlaid on the right, with arrows pointing from its fields to the corresponding fields in the 'S3 access of 12 - Echo' section.

Company	Scope	Revoked by	Revoked at
123108	Echo		

Bucket:

Access key:

Secret key:

ADD CSSF S3 KEYS

Scope

Bucket name

Access key

Secret key

- The S3 Keys information is displayed when creating the keys on the e-desk portal. The mapping is done as displayed here
- When you have entered the mandatory information, confirm the creation of the keys via the button “Add keys” and a new line will appear in the S3 Keys Management page with the information you have provided. Set-up is done

HOW TO ONBOARD S3 KEYS ON E-FILE

Step 5

- The 'Add Key' box at the bottom of the pop out will turn blue.
- Click this to add the report keys on e-file's Key Management module:
- The keys will now be securely stored in e-file and you can continue to use the e-file system as normal.

FE fundinfo will be in touch when the reports have been transferred over to the S3 transmission method, but no further action is required from the e-file user at this point.

ADD CSSF S3 KEYS

Scope ⁱ

AIFMD

Bucket name ⁱ

s3-bucket-echo-e7c5928f-4444-4cb3-7777-bda1dbe7d98c

Access key ⁱ

s3-key-echo-45b858c6-ecae-4cf7-9f6a-ce49b5c2e91b

Secret key ⁱ

.....

ADD KEYS CLOSE

STEP-BY STEP: HOW TO GENERATE THE S3 KEYS ON E-DESK

HOW TO GENERATE THE S3 KEYS ON E-DESK

Step 1

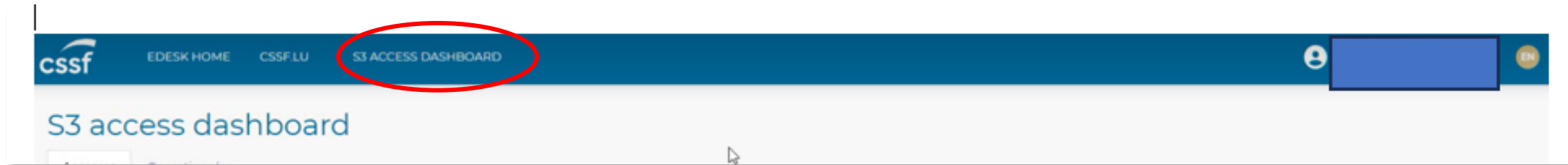
- Your entity's appointed IT Expert will need to log into the IT Management area of e-desk [here](#)
- This must be using the same LuxTrust Device and account that the IT Expert role was assigned to. Please note, that these steps can only be implemented from the appointed IT Expert account

FE fundinfo experts can provide support when needed, details will be presented in section 4

HOW TO GENERATE THE S3 KEYS ON E-DESK

Step 2

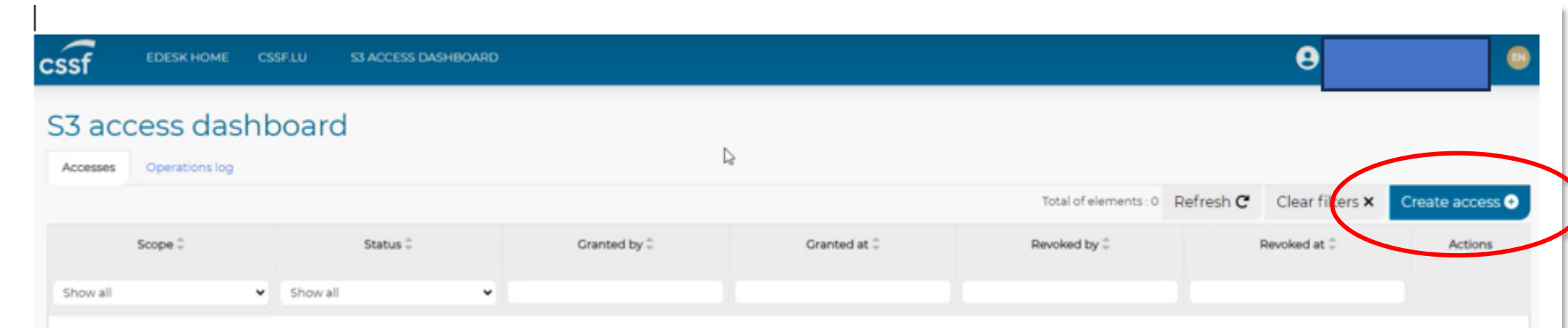
Once logged in, go to the 'S3 ACCESS DASHBOARD' at the top of the page, which will take you to a screen similar to the below:



HOW TO GENERATE THE S3 KEYS ON E-DESK

Step 3

Select 'Create Access'



HOW TO GENERATE THE S3 KEYS ON E-DESK

Step 4

This will provide you with an option to select a 'scope' which will be the reporting type you have been appointed as IT Expert for and select create:

The screenshot displays the 'S3 access dashboard' with a modal window titled 'Create new access'. The modal contains a 'Scope' dropdown menu, which is currently empty. Below the dropdown, a small text note states: 'If a granted access already exists with the selected scope, it will be revoked.' At the bottom of the modal are two buttons: 'Cancel' and 'Create'. The background dashboard shows a table with columns for 'Scope', 'Status', 'Granted by', 'Granted at', 'Revoked by', 'Revoked at', and 'Actions'. The table is currently empty, and the status is 'Showing: 0 - 0 of 0'. The dashboard also includes a 'Total of elements: 0', a 'Refresh' button, a 'Clear filters' button, and a 'Create access' button.

HOW TO GENERATE THE S3 KEYS ON E-DESK

Step 5

This will create a line in the S3 access dashboard with the report type, the status (this should show 'Granted') and the date of this creation:

S3 access dashboard

Accesses

Operations log

Total of elements : 3

Refresh

Clear filters

Create access




Scope	Status	Granted by	Granted at	Revoked by	Revoked at	Actions
Show all	Show all					
REPORTING AIFMD	Granted	JOE SMITH	31/10/2023 11:48:25			

HOW TO GENERATE THE S3 KEYS ON E-DESK

Step 6

Each report type generates 3 codes on e-desk, (the Bucket code, the Access Key, and the Secret Key). To reveal these keys, click the magnifying glass with a '+' icon under the actions column (located on the far right of the screen):

The screenshot shows the 'S3 access dashboard' with tabs for 'Accesses' and 'Operations log'. It includes a table with columns: Scope, Status, Granted by, Granted at, Revoked by, Revoked at, and Actions. A single row is visible with the following data: Scope: REPORTING AIFMD, Status: Granted, Granted by: JOE SMITH, Granted at: 31/10/2023 11:48:25. The Actions column for this row contains three icons: a magnifying glass with a '+' (circled in red), a red circle with a slash, and a refresh icon. Above the table, there are controls for 'Total of elements: 3', 'Refresh', 'Clear filters', and a 'Create access' button.

Scope	Status	Granted by	Granted at	Revoked by	Revoked at	Actions
REPORTING AIFMD	Granted	JOE SMITH	31/10/2023 11:48:25			  

HOW TO GENERATE THE S3 KEYS ON E-DESK

Step 7

- This will reveal the information about the who the access has been granted too, when and what report it is for. It will also provide details of the unique codes specific to the entity, report type and individual.
- You can copy/paste each information with the button on the right of each field.
- The secret key can only be seen once and for few minutes, make sure to copy it.

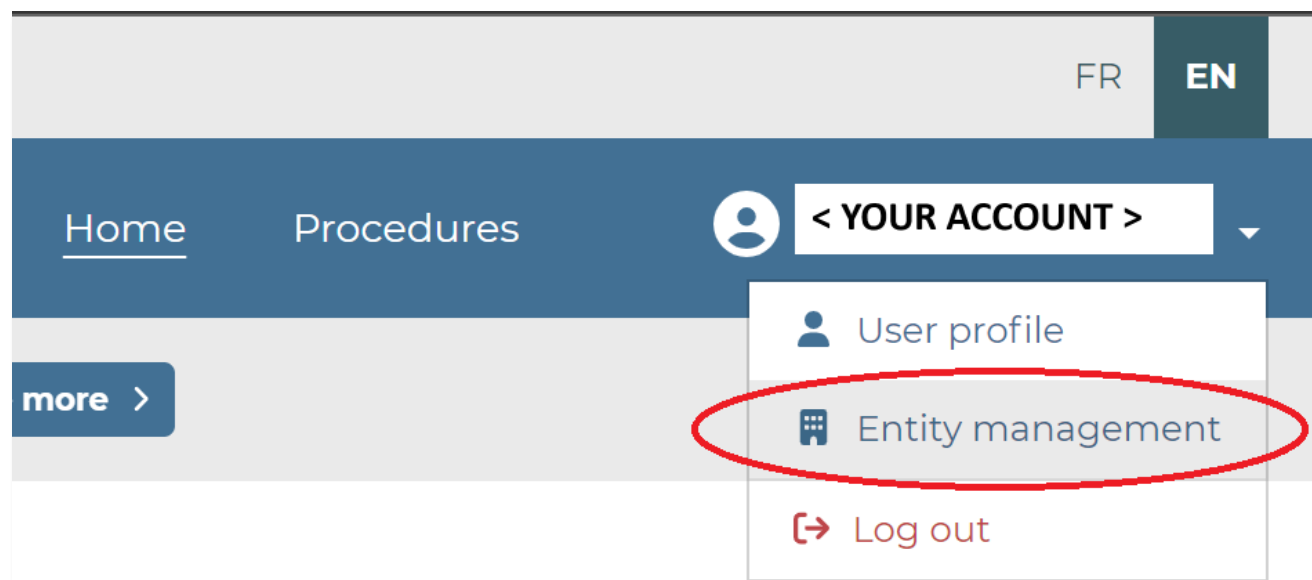
The screenshot shows the 'S3 ACCESS DASHBOARD' interface. At the top, there's a navigation bar with 'cssf', 'E-DESK HOME', 'CSSF.LU', and 'S3 ACCESS DASHBOARD'. On the right, a user profile for 'FUNDSQUARE S.A.' is visible. Below the navigation bar, a 'Back to dashboard' link is present. The main content area is titled 'S3 access of [redacted] - Echo'. It contains a table with columns: 'Company', 'Scope', 'Status', and 'Granted at'. The 'Status' column shows 'Granted' in a green box, and the 'Granted at' column shows '31/10/2023 12:00:17'. Below the table, there are three input fields: 'Bucket:', 'Access key:', and 'Secret key:'. Each field has a red circle with a copy icon to its right. The 'Secret key' field is masked with asterisks. At the bottom, there's a message: 'The secret was viewed by [redacted] at 31/10/2023 12:00:30.' and two buttons: 'Revoke' (orange) and 'Reset credentials' (blue).

STEP-BY STEP: HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

Step 1


- Log into e-desk with the Advanced User account using your LuxTrust Device and Password. Please note that these changes can only be implemented from the Advanced User account
- Once logged in, go to the top right corner of the screen, click on your account user name, and select 'Entity Management'



HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

Step 2

Select 'Access Requests' from the tabs at the top of the screen'



EDESK HOME

CSSF.LU

Entity management

Entity information

Entity users

Access requests

Orphan requests

Specific roles within entity

Entity identification

CSSF code

Entity name

Postal address

Postcode & City

Country

< YOUR CSSF CODE >

< YOUR ENTITY NAME >

Luxembourg

HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

Step 3

- As FE fundinfo will have made a request to connect from our Fundsquare account, you will see us on a list of users requests to connect with your entity.
- You will be able to identify our request as it will be with the LuxTrust SN: 100115278245548987357

Entity management

Entity information Entity users Access requests Orphan requests Specific roles within entity

Total elements : 1 Refresh Clear filters

First name	Last name	LuxTrust SN	LuxTrust Type	Position	Email	Direct dial	Request Date	Actions
			Show all					
Fundsquare user information		100115278245548987357	Professional Person	Advanced user	Fundsquare/FEFI email & dial		dd/mm/yyyy hh:mm	✓ ✕

HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

Step 4

- Once you have identified the FE fundinfo request from our Fundsquare account, you can go to the far right of the screen and select ‘ACCEPT ACCESS’ or ‘REJECT ACCESS’.
- Remember to only accept requests and provide access to users you are associated with. You will need to ‘ACCEPT ACCESS’ on our request

Entity management

Entity information

Entity users

Access requests

Orphan requests

Specific roles within entity

Total elements : 1

Refresh

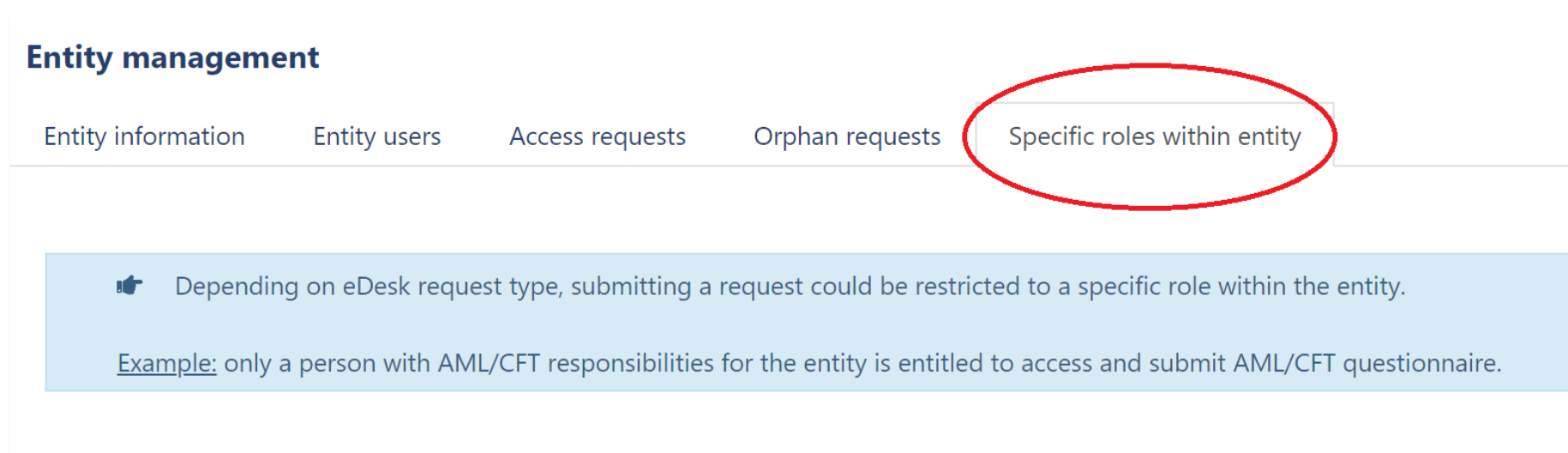
Clear filters

First name	Last name	LuxTrust SN	LuxTrust Type	Position	Email	Direct dial	Request Date	Actions
			Show all					
Fundsquare user information		100115278245548987357	Professional Person	Advanced user	Fundsquare/FEFI email & dial		dd/mm/yyyy hh:mm	<div><div>✓</div><div>✕</div></div>

HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

Step 5

Once you have clicked accept, go to the 'Specific roles within entity' tab



Entity management

Entity information Entity users Access requests Orphan requests **Specific roles within entity**

👍 Depending on eDesk request type, submitting a request could be restricted to a specific role within the entity.

Example: only a person with AML/CFT responsibilities for the entity is entitled to access and submit AML/CFT questionnaire.

HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

Step 6

Under the ‘Specific roles within entity’ tab, on the right of the screen, click the ‘Add’ button:

Entity management


Entity information

Entity users

Access requests

Orphan requests

Specific roles within entity

 Depending on eDesk request type, submitting a request could be restricted to a specific role within the entity.

Example: only a person with AML/CFT responsibilities for the entity is entitled to access and submit AML/CFT questionnaire.

Total elements : 4

Refresh

Add

Specific role	User	Email	Direct dial	Actions
---------------	------	-------	-------------	---------

HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

Step 7

- You will now be able to click on the 'User' box and select a user within the list of approved users connected with your entity.
- One of these will be FE fundinfo's Fundsquare account, select this option and the user details will populate automatically

Entity management

Entity information Entity users Access requests Orphan requests Specific roles within entity

[Specific roles within entity](#) / [New](#) Save Cancel

✦ Please note that in order to be available in the list below, a user must have an active eDesk account and be linked to FUNDSQUARE S.A. (1231108) entity.

Entity

Entity

CSSF code

User

User *

Email

Direct dial

Select a user

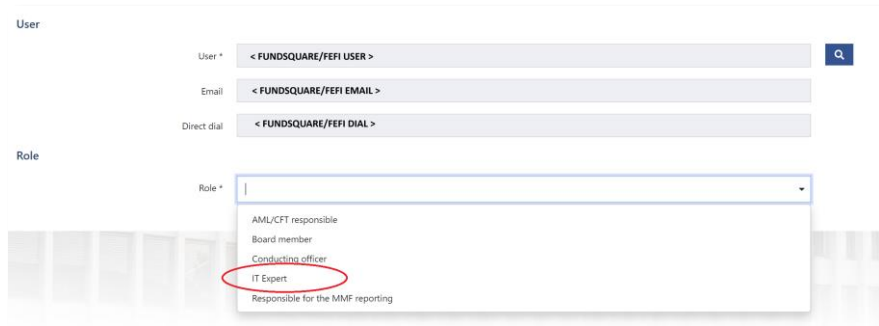
Total elements : 5 Refresh Clear filters

Position	Role	Email	Phone	LuxTrust SN	LuxTrust Type	User since
Show all					Show all	
< FUNDSQUARE/FEFFI USER INFORMATION >				10115278245548987357	Professional Person	dd/mm/yyyy hh:mm

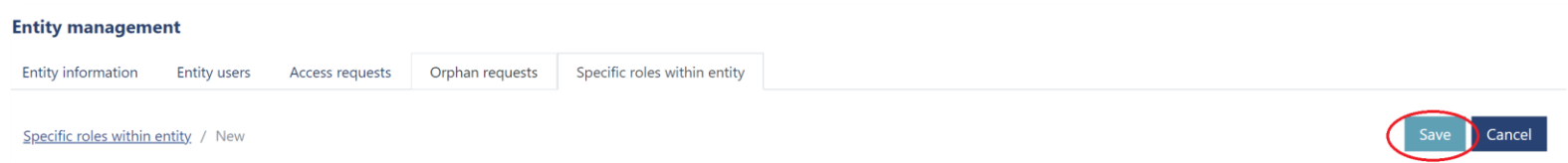
HOW TO GET SUPPORT WITH THE SET-UP VIA IT EXPERT ROLE DELEGATION

Step 8

- Now you can select a role for that user, in this case you will need to select IT EXPERT for FE fundinfo in the dropdown selection



- Click save on the top right to make the change



- Next steps will be the generation of the S3 key, detailed in section 3

Q&A

Diana Cutolo, Maxime Aerts and Annael Fleury

UPCOMING WEBINAR



WEBINAR

New reporting entity onboarding with e-file

Tuesday, 5 December (11:00 – 11:45 CET)

Registration link can be found on
fefundinfo.com/insights/events

> Or contact events@fefundinfo.com for more information.



CONTACT US

Your expert team



Maxime Aerts
Head of Asset Management
Product Strategy
FE fundinfo



Diana Cutolo
Key Account Manager
FE fundinfo



Annael Fleury
Product Manager
FE fundinfo

> For any questions, please contact: enquiries@fefundinfo.com



FUNDSQUARE