

Documentation U11 Builder v1.0 alpha

v.160921

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Generalities

➤ 1st part of the report

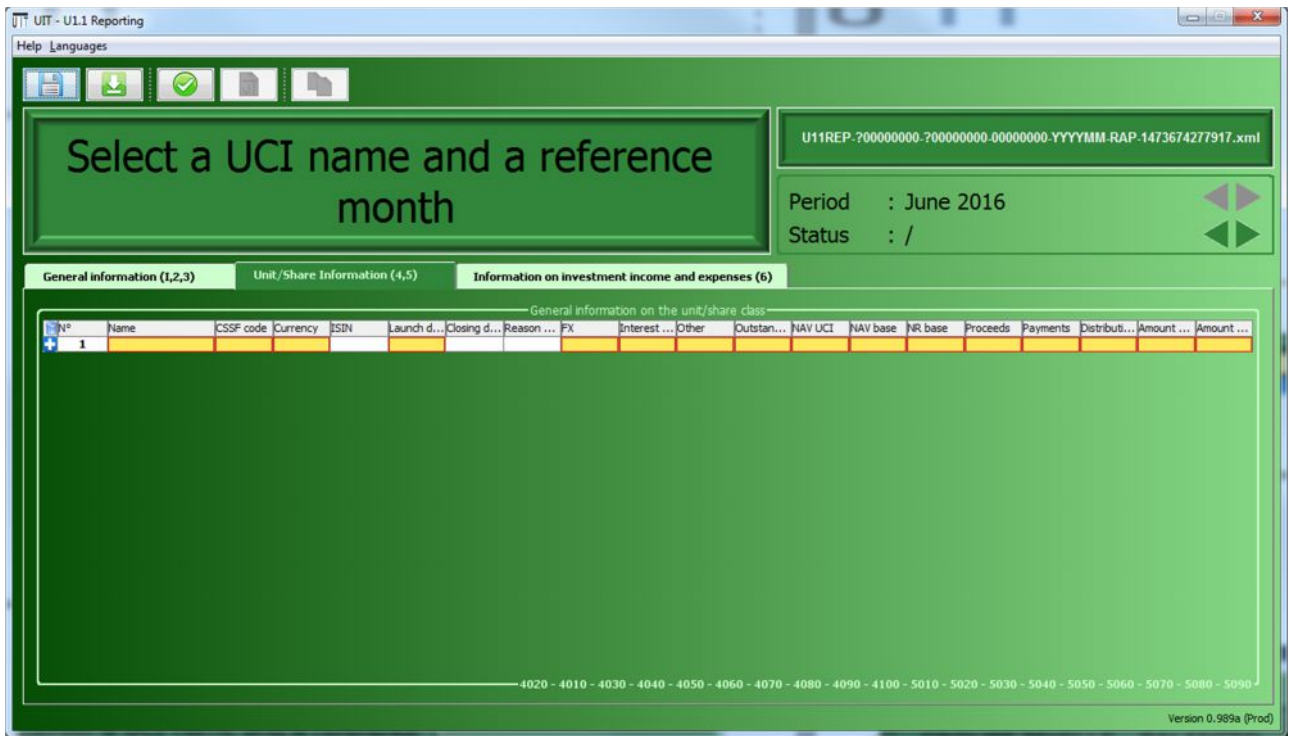
The screenshot shows the 'UIT - UT Reporting' application window. It features a top toolbar with icons for help, languages, save, import, check, export, and copy. The main area is divided into several sections:

- Configuration and help:** Points to the top toolbar icons.
- Save, import xml, check, export xml, copy:** Points to the same toolbar icons.
- Navigation between the 3 parts of the report:** Points to the navigation arrows on the right side of the 'Period' and 'Status' fields.
- Fields to be completed:** Points to the large form area containing various input fields and dropdown menus.

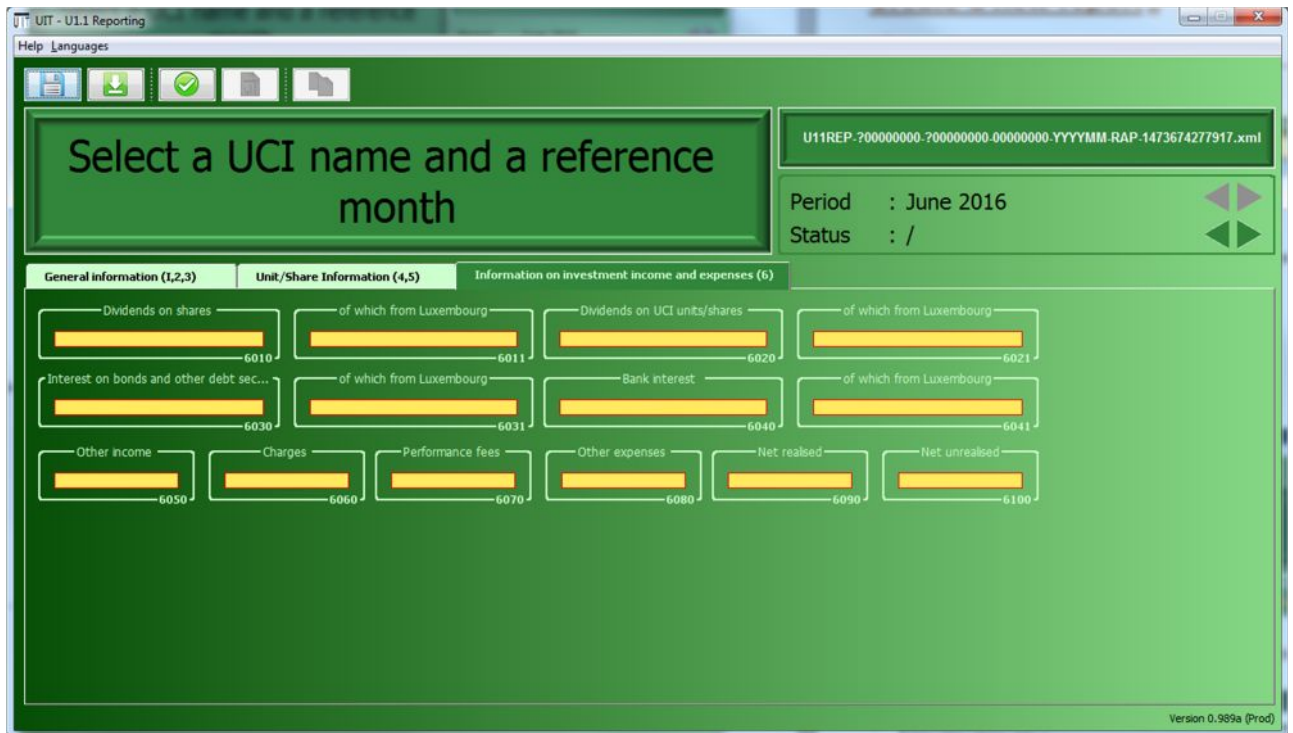
The form area includes the following fields and sections:

- Header:** 'Select a UCI name and a reference month' (highlighted in green).
- Metadata:** 'U11R.P.700000000.700000000.00000000.YYYYMM.RAP.1473674277917.xml', 'Period : June 2016', and 'Status : /'.
- General Information (1,2,3):** Name of the UCI, Reporting status, Valuation date, Total NAV of the preceding ref. month.
- Unit/Share Information (4,5):** Reference month, CSSF code of the sender, Net asset value calculation frequency, Total NAV of the ref. month.
- Information on investment income and expenses (%):** Base currency of the UCI, Launch date, Shares issued during the ref. month, Shares redeemed during the ref. month, Shares distributed during the ref. month.
- Sender's information:** Name of employee, Phone number, Email address.
- Comments:** A large text area for notes (not more than 1024 characters).

➤ 2nd part of the report



➤ 3rd part of the report



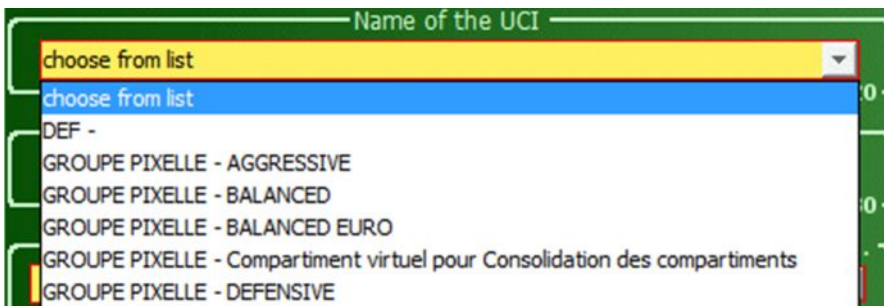
Launch U11 Builder

Please see installation's document.

Create a new report

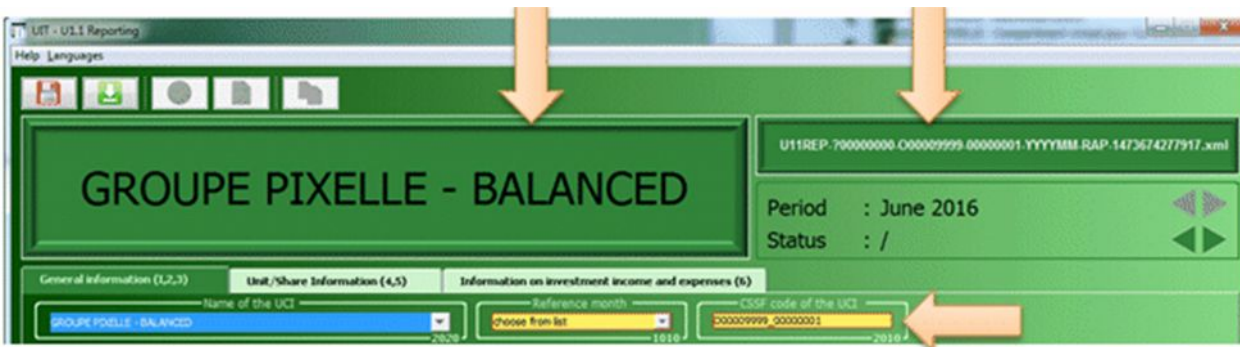
1. UCI name and reference month

First, choose the UCI name in the drop list.

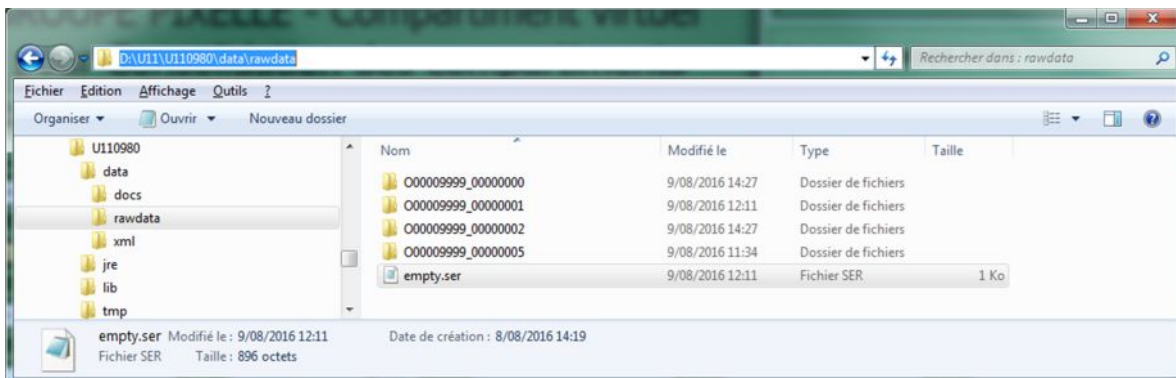


Once the selection is made, are updated automatically:

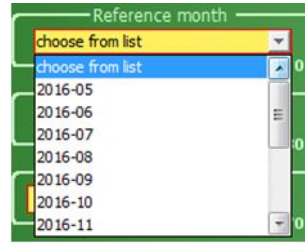
- The name in the top frame;
- The report's name;
- the UCI's CSSF code.



Besides, U11 Builder creates at this moment a corresponding directory in data\rawdata. It's in this directory that report's data will be saved.



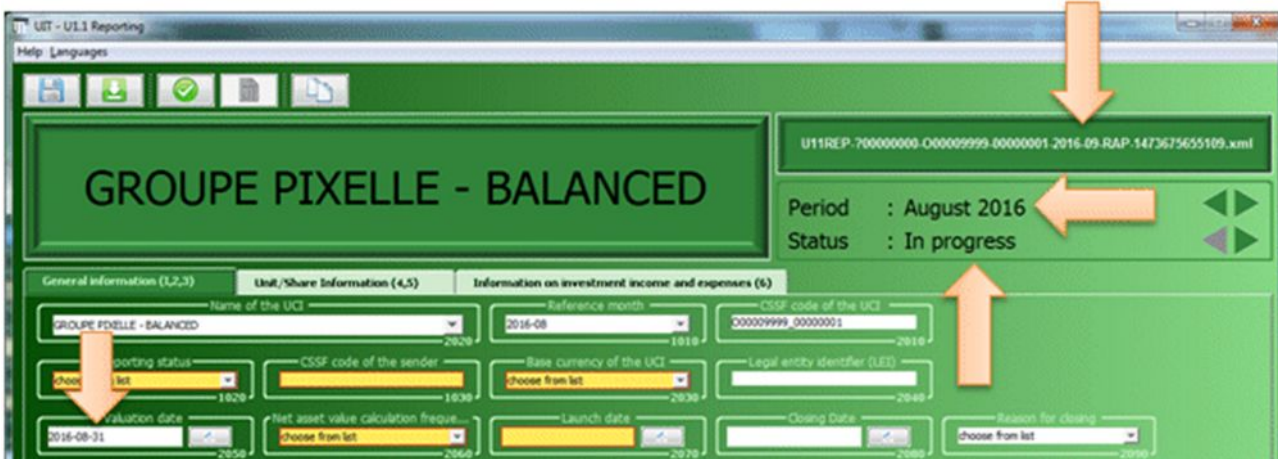
Then, choose the reference month in the drop list.



In the same way, are updated:

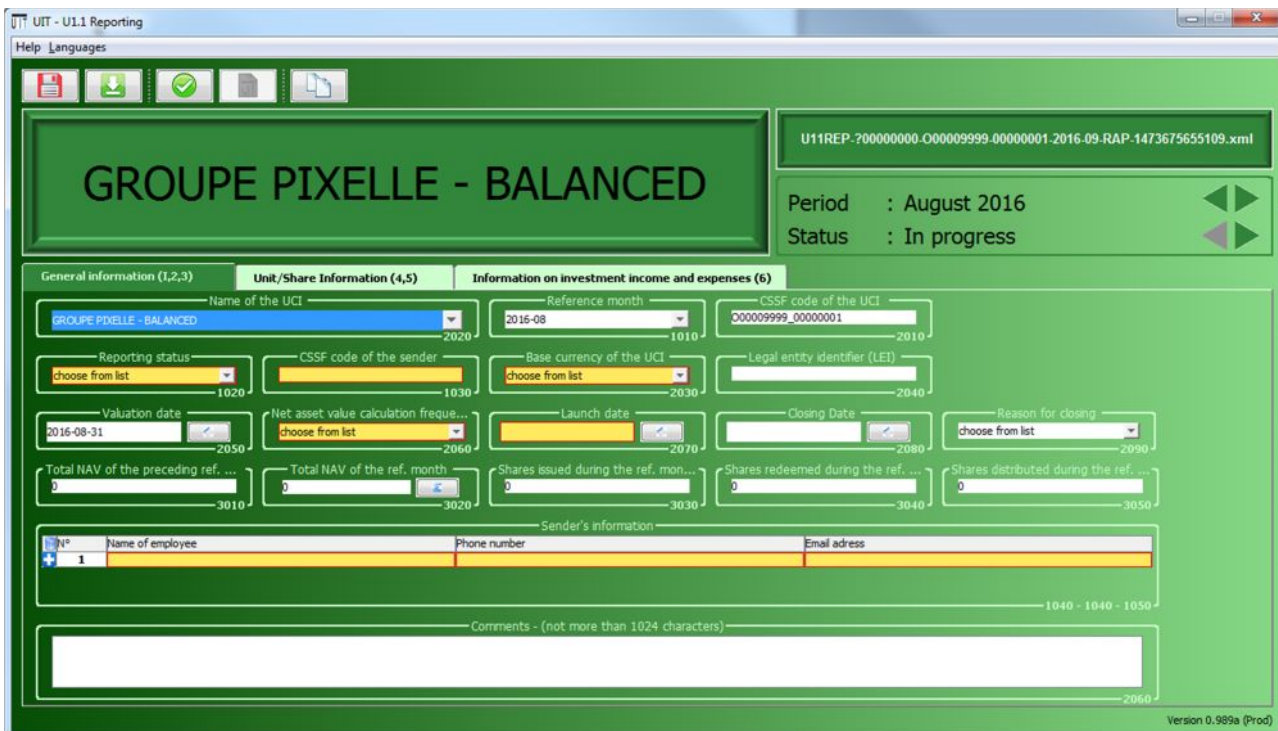
- The date of the report in the right frame;
- The report's name;
- The validation date.

Besides, an indication of status appears.




2. First tab : « General information » - Other fields

Once UCI's name and reference month entered, the U11 Builder indicates you fields to be filled for the report. In the 3 tabs, fields to be completed have a yellow bottom and a red frame.



The table can be completed in two ways:

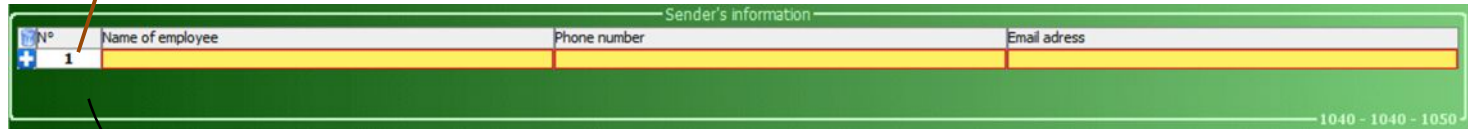
- directly in the table (example 1).
- through a capture window (example 2) which opens when the user double-clicks on the line's number. In this option, you have to click on  to save the line.

Example 1

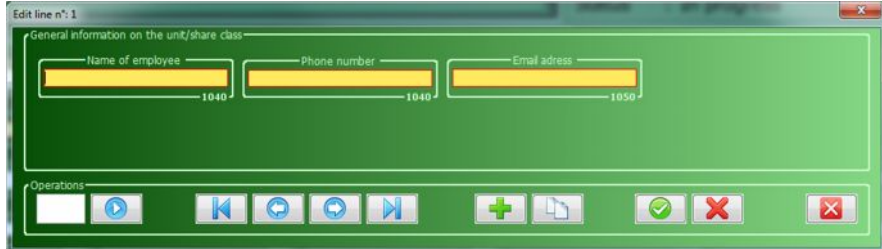
Sender's information			
N°	Name of employee	Phone number	Email address
1	Paul	0123456789	paul@pixelle.com
2			

Example 2

Double-click




Capture window is opening


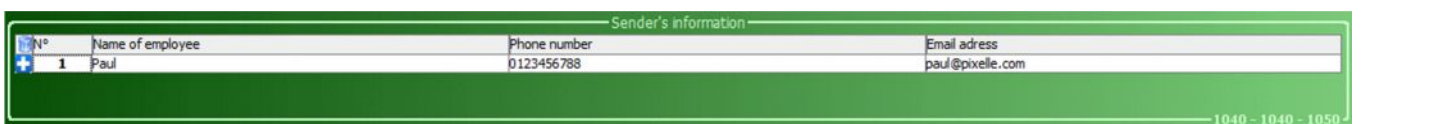


Please, see chapter 5 for more details about capture window

Enter your data and save



When clicking, you receive a saving confirmation and the capture window is closed automatically

3. Second tab : « Unit / Share information »

In the second tab, a data entry control helps you to avoid mistakes. It prevents from introducing letters in the fields where numbers are necessary and vice versa.

The table can be completed like once of the first tab.

- Directly in the table:

N°	Name	CSSF code	Currency	ISIN	Launch	Closing	Reason	FX	Interest	Other	Outstanding	NAV UCI	NAV base	NR base	Proceeds	Payments	Distribution	Amount	Amount	
1	CAPITALISATION	0001	EUR	LU01234...	2016-08...			true	true	true	123	123	0.98	100	98	98	123	123	123	
2																				

- Through a capture window:

Double-click

Capture window opens


Enter your data and save

When clicking, you receive a saving confirmation and the capture window is closed automatically

Line validated

N°	Name	CSSF code	Currency	ISIN	Launch d...	Closing d...	Reason ...	FX	Interest ...	Other	Outstan...	NAV UCI	NAV base	NR base	Proceeds	Payments	Distributi...	Amount ...	Amount ...
1	CAPITALISATION	0001	EUR	LU01234...	2016-08-01			true	true	true	123	0.98	0.98	100	98	98	123	123	123

4. Third tab : « Information on investment income and expenses »

This tab must be completed directly in the tab and can be saved by clicking on 

CAUTION: All fields which must be completed to obtain a valid report contain by default the value "0". You have to correct value accordingly.

Click after data insertion or modification

Insert data

U11REP - U11 Reporting

Help Languages

U11REP

U11REP-B00000000-000009999-00000001.201608.RAP-1473751810419.xml

Period : August 2016

Status : In progress

General information (1,2,3) Unit/Share Information (4,5) Information on investment income and expenses (6)

Dividends on shares 1 6010	of which from Luxembourg 2 6011	Dividends on UCI units/shares 30 6020	of which from Luxembourg 40 6021
Interest on bonds and other debt sec... 120 6030	of which from Luxembourg 120 6031	Bank interest 5 6040	of which from Luxembourg 120 6041
Other income 20 6050	Charges 50 6060	Performance fees 50 6070	Other expenses 10 6080
		Net realised 9 6090	Net unrealised 1 6100

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5. Capture window

Enter a line number in the left field, click the arrow to go there

Go to the previous / next line

Add a line

Save the new encoded line

Close the capture window

Go to the first / last line

Duplicate a line

Delete a line

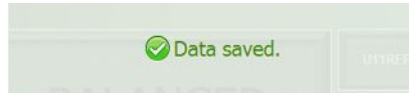
Operations

Buttons

1. Save



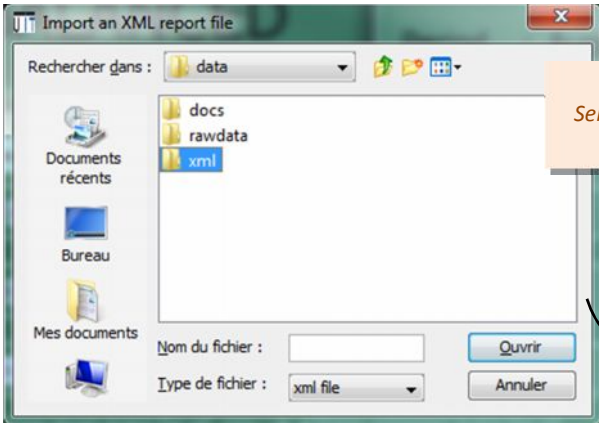
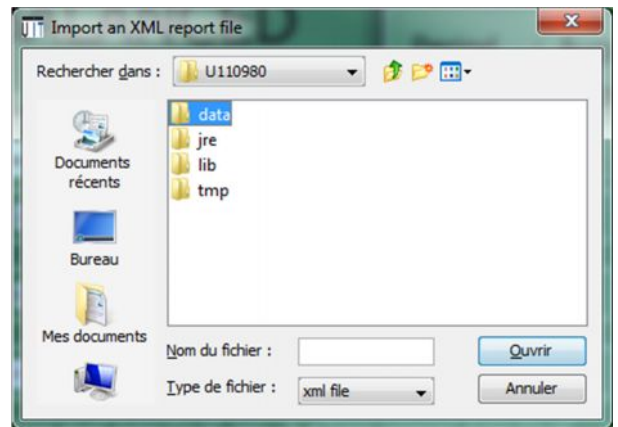
When all data are saved, the button is blue. As soon as you make a change not yet saved, the button turns red. All captured data are saved in a unique RAW file for each UCI and each months.



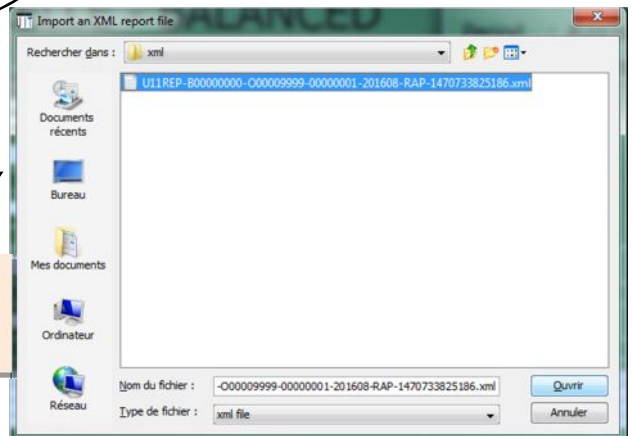
2. Import



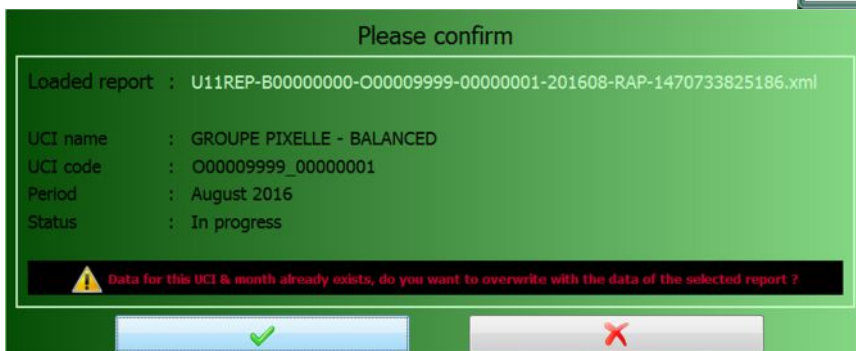
Click on the button to open a file browser to select an xml to be imported
Select "Data" folder (default)



Select "xml"



Select the xml to be imported



Confirm or cancel import

3. Check button



→ This button checks if all the captured values follow the report's rules and formats.

After clicking the **Data Validity Verification** button, all the captured content will be checked in order to detect any errors. In case of an error, the user will be informed with a specific message and the export button will not be available.

NOTE: Using the "Check" function/button is mandatory prior to export and generate the report

4. Export the U11 report

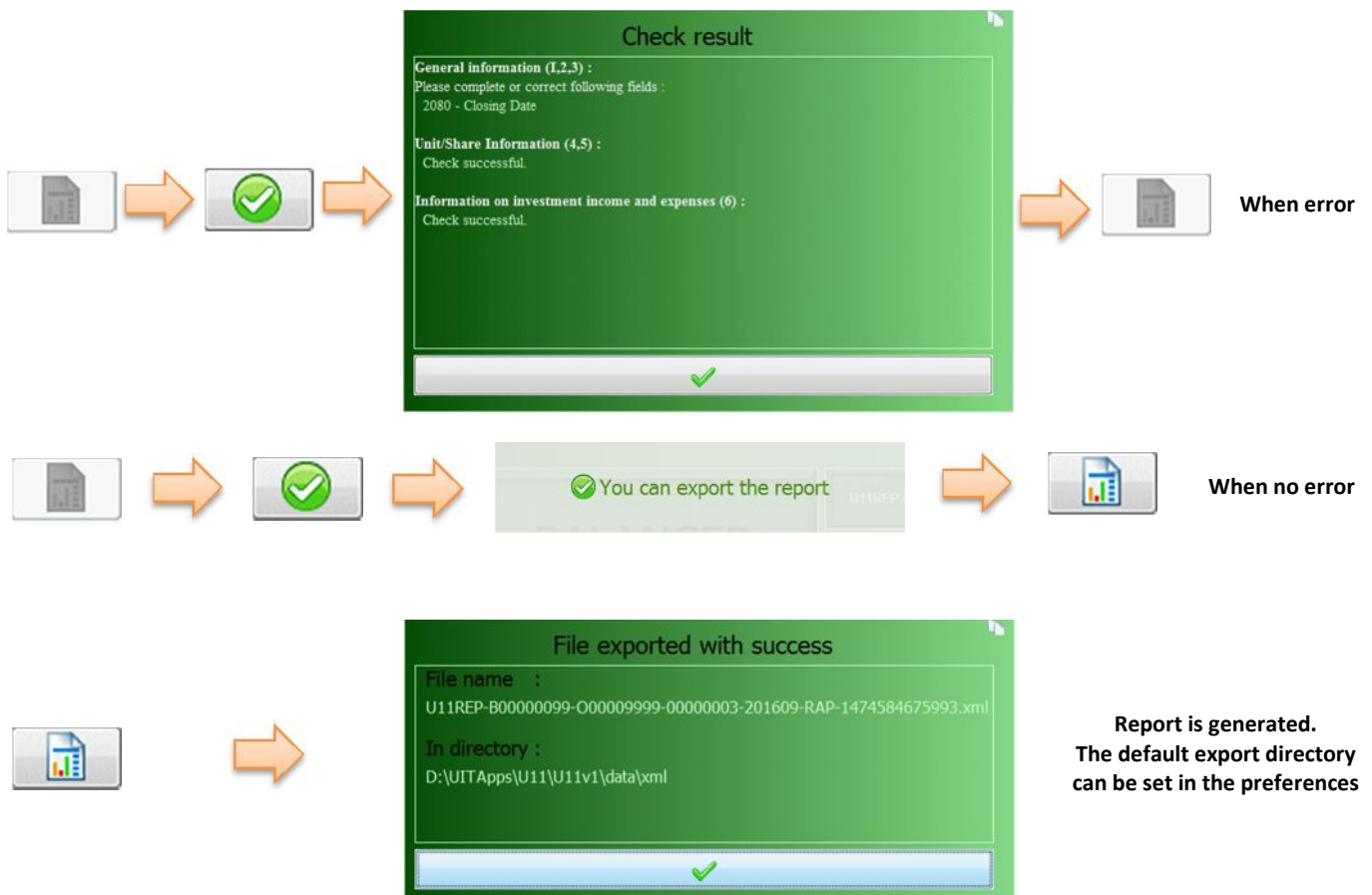


→ Exports the captured data encoded in XML format according to the structure required by CSSF.

By default this button is **disabled** and is **blurred**. You will be able to export a report only when you will have verified your captured data by clicking the **Check** button from the step above.

If an error occurs during validation, this error will be explained in a window which opens and the button will still be disabled

If no error, the button will be enabled.



5. Copy



→ Click on the “Copy” button to create a copy of the active report for the next month.
If the report contains no errors, a confirmation windows appears.

Confirm or cancel

An error will be displayed in case of a non valid report :

If the next month’s report does already exist, the tool will ask for a confirmation to overwrite the data.

Upon a successful copy, the tool will : 1- Update report's name. 2- Update reference month and Period. 3- Reset status to "In Progress". It'll will display the new (copied) month screen of the selected UCI.

UIT - U1.1 Reporting

Help Languages

GROUPE PIXELLE - BALANCED

U11REP.B00000000.000009999.00000001.201609.RAP.1473760045076.xml

Period : September 2016

Status : In progress

General information (1,2,3) | Unit/Share Information (4,5) | Information on investment income and expenses (6)

Name of the UCI: GROUPE PIXELLE - BALANCED

Reference month: 2016-09

CSSF code of the UCI: 000009999 00000001

Reporting status: provisional report

CSSF code of the sender: 800000000

Base currency of the UCI: EUR

Legal entity identifier (LEI): LU123456789101213141

Valuation date: 2016-08-31

Net asset value calculation frequency: 13 - monthly

Launch date: 2016-08-01

Closing Date: [empty]

Reason for closing: choose from list

Total NAV of the preceding ref. month: 0

Total NAV of the ref. month: 0

Shares issued during the ref. month: 0

Shares redeemed during the ref. month: 0

Shares distributed during the ref. month: 0

Sender's information:

N°	Name of employee	Phone number	Email address
1	Paul	0123456789	paul@pixelle.com
2	Nicole	0987654321	nicole@pixelle.com

Comments - (not more than 1024 characters)

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6. Period

You can easily navigate between months of the current UCI using arrows



7. Status

You can determine the status of your report (optional manual operation):

- In progress => report in progress ;
- Generated => report generated ;
- To validate => waiting for CSSF's validation;
- Validated => report validated by CSSF.

Navigate from one status to another using arrows. The status you chose is saved at the same time as the other data.



CAUTION: When you choose "Validated", the report is locked! All the fields, except "Name of the UCI" and "Reference month", are grayed and not anymore editable. When you are on the status "To validate" and clicking on the right arrow, the Builder warns you with this message:



UIT - U11 Reporting

Help Languages

GROUPE PIXELLE - BALANCED

U11REP-B00000000-000009999-00000001-201608-RAP-1473767428449.xml

Period : August 2016

Status : Validated

General information (1,2,3) | **Unit/Share Information (4,5)** | Information on investment income and expenses (6)

Name of the UCI: GROUPE PIXELLE - BALANCED

Reference month: 2016-08

CSSF code of the UCI: 000009999_00000001

Reporting status: provisional report

CSSF code of the sender: 000000000

Base currency of the UCI: EUR

Legal entity identifier (LEI): U123456789101213141

Valuation date: 2016-08-31

Net asset value calculation frequency: 13 - monthly

Launch date: 2016-08-01

Closing Date: [empty]

Reason for closing: choose from list

Total NAV of the preceding ref. ...: 0

Total NAV of the ref. month: 0

Shares issued during the ref. month: 0

Shares redeemed during the ref. month: 0

Shares distributed during the ref. month: 0

Sender's information:

N°	Name of employee	Phone number	Email address
1	Paul	0123456789	paul@pixelle.com
2	Nicole	0987654321	nicole@pixelle.com

Comments - (not more than 1024 characters)

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8. Status history

All the modifications of status and the xml generations are saved by U11 Builder. By clicking on "Status" (directly on this word), you can see the date, the hour, the name of the user who made changes, and the nature of these changes (status or xml generation).

UIT - U11 Reporting

Help Languages

GROUPE PIXELLE - BALANCED

U11REP-B00000000-000009999-00000001-201608-RAP-1474368645957.xml

Period : August 2016

Status : To validate

Click

09/20/2016 11:25:14 AM - ADMIN - In progress => Generated

09/20/2016 00:50:46 PM - ADMIN - XML report generated

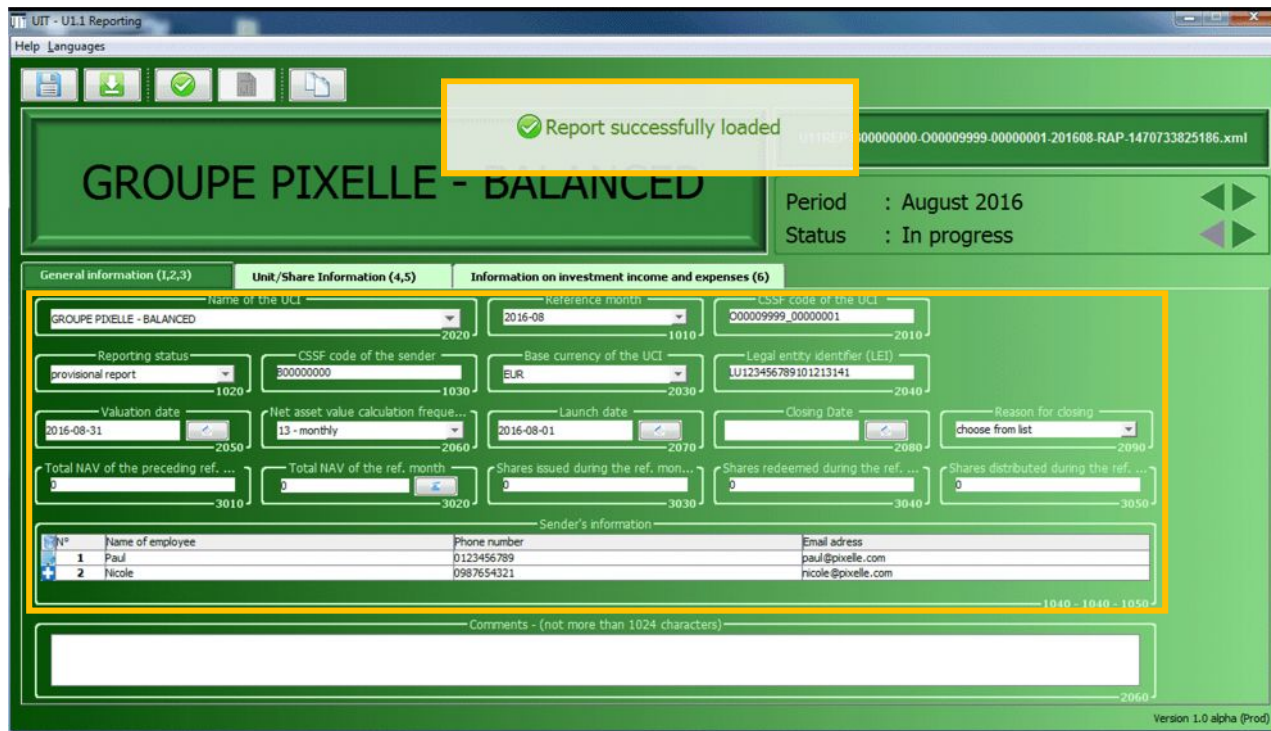
> Name : U11REP-B00000000-000009999-00000001-201608-RAP-1474368645957.xml

09/20/2016 00:51:04 PM - ADMIN - Generated => To validate

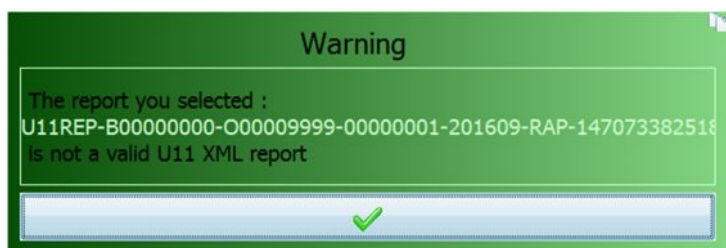
Comments - (not more than 1024 characters)

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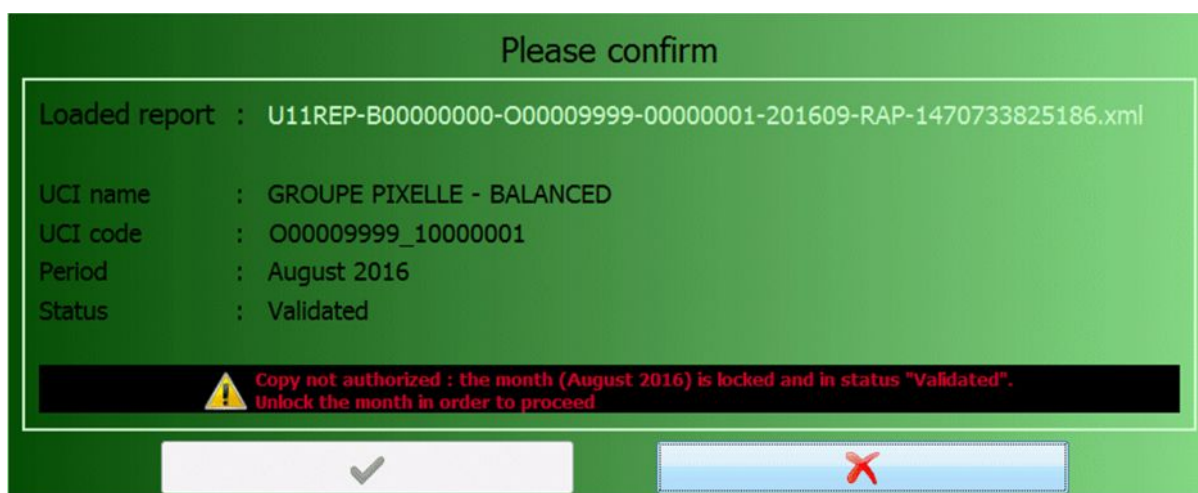
- By confirming the import of a valid xml file, your data appear in the U11 Builder and a message confirms the success of this operation. The status is reset to “In progress”.



- If the xml file is not valid, the tool will displays the following message :



- If you try to import a locked xml (with a “Validated” status), the Builder displays the following message and won’t allow to import.



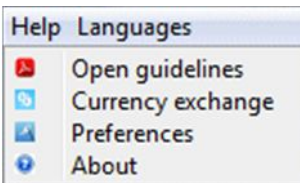
9. Language menu



→ Switch between languages (French / English).

By clicking the language button you apply the translation for all the reporter's fields. This contains header names, buttons, labels and any displayed comment.

10. Help menu



➤ Open guidelines

Opens the CSSF documentation about U11 reporting.

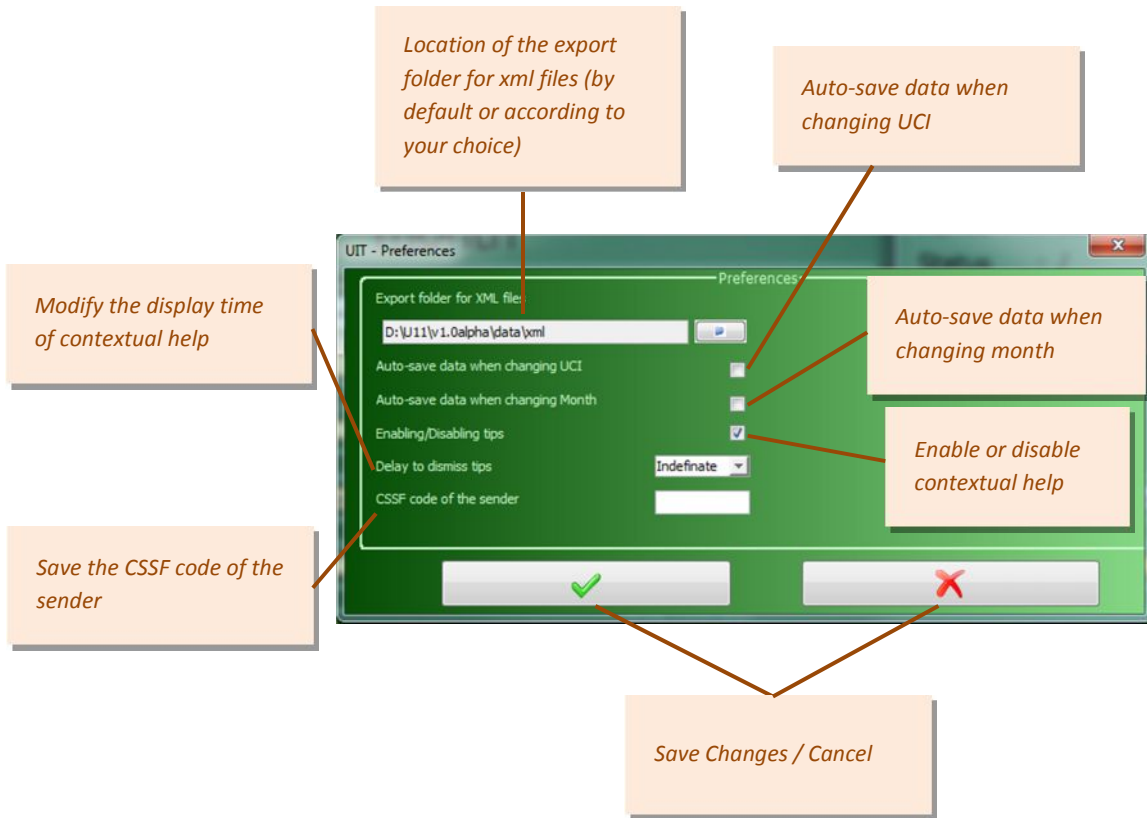
➤ Currency exchange



Opens a window allowing to register exchange rates between various currencies. Saving these exchange rates allows the U11 Builder to convert automatically in the second tab.

➤ Preferences

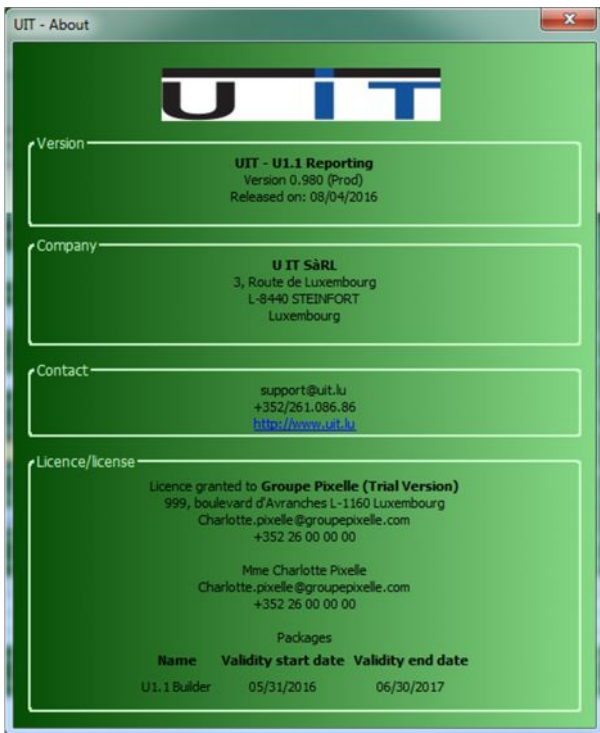
In this window, you can change some options according to your preferences.



When saving or canceling modifications, the Builder informs you with these messages



➤ About



Information regarding U11 Builder's version, U IT's contact details and customer's license.