

RGen AIFM is the name of the solution U IT developed to complete our set of solutions for the fund's reporting domain. Similar to our other solutions, we ensured to develop a neat & nifty product where the data handled remains 100% under our customer's control, data security and confidentiality will always be a primary goal and prerequisite to all our solutions.

Key aspects & features (v 2.0+)

User's side

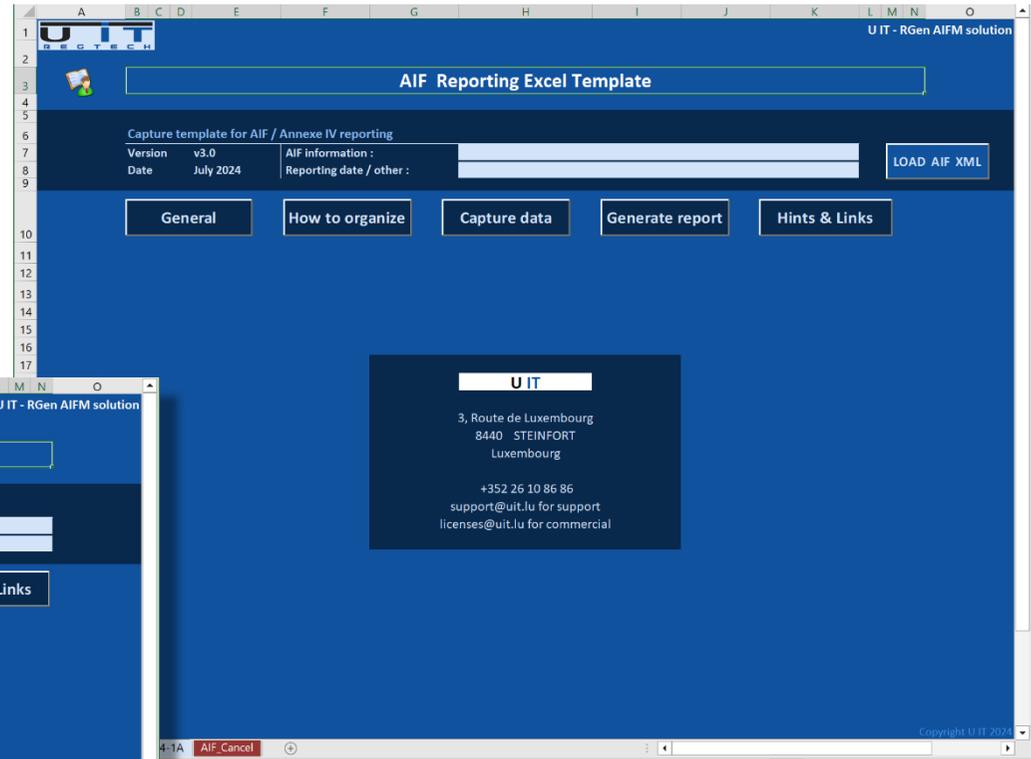
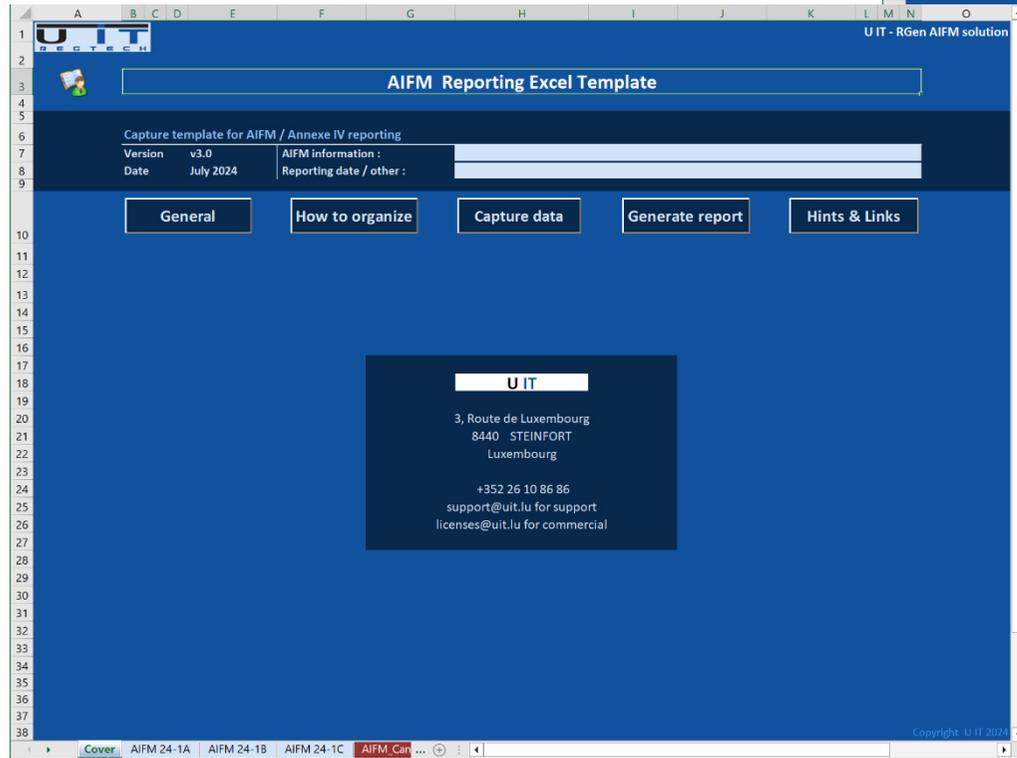
- Splitable solution: capture & generation**
-  **Smart excel capture template**
-  - clear polished interface
-  - enhanced data input controls
-  - inline help
-  - extra functions/automations added
-  **Create reports ready to be sent**
-  **Easy-to-use converter** (GUI mode)
-  **Automatable conversion of final reports**
-  **Automatic mails** (on success, error)
-  **Extra functions & options** (for users & support)

IT's side

- Excel used to capture data**
- RGen AIFM is a portable application**
- quick installation
- can be run from WAN shared drive
- package is less than 10Mo
- RGen can**
- be batched
- record use & activity
- send automatic emails
- Easy license update** (one file to overwrite)
- No internet connection** (offline solution)

Two different Excel templates: one for AIFM and one for AIF entities

Excel templates are independent from the XML converter.
This particularity grants more flexibility.



- ✓ Filling task can be granted to a third-party expert
- ✓ Ease any help or support request to fill a template or to perform correction requested by the ESMA or CSSF

Cover page with extra help information buttons but also editable information fields dedicated for users

U IT - RGen AIFM solution

AIF Reporting Excel Template

Capture template for AIF / Annexe IV reporting

Version v3.0.0 Beta AIF information :

Date May 2024 Reporting date / other : **LOAD AIF XML**

General | **How to organize** | **Capture data** | **Generate report** | **Hints & Links**

General

U IT RGen AIFM Solution was developed to respond the AIFMD / Annexe IV reporting in Luxembourg

The solution is based on 2 components :

- AIFM Capture tools : Excel files allowing to capture all the required data to be converted into XML. One template for AIF and one for AIFM report.
- RGen AIFM : XML report generator. Generates and validates XML reports from the AIFM Capture tools.

Name the generated report accordingly to the guidelines + archive them under ZIP format, ready to be sent.

These reports must be sent to the CSSF in compliance with the circulars 14/581 and 08/334.

The frequency of reporting varies from Yearly, Half-Yearly or Quarterly. Reporting sending deadlines are :

- 31 January (for yearly reporting).
- 31 January & 31 July (for half-yearly reporting).
- 31 January, 30 April, 31 July & 30 September (for quarterly reporting).

There are 3 different types of feedbacks sent by the CSSF in response to the sending of one report :

- AIFFB - Technical feedback. This feedback is there to acknowledge the good reception of the report (not content).
- AIFFB - Business feedback from CSSF. Results of a first series of tests done by the CSSF prior sending to ESMA.
- AIFFBH - Technical feedback from ESMA. Acknowledge the good reception of the report by the ESMA.

In addition to these feedbacks, it is possible that you may receive additional requests for one report, via email.

There are several NEW useful functions in these capture tools :

The "U IT" button : from this Cover page, it gives access to "Clear All Sheets" function. This function allows to delete all data from your report.

From other sheets, this button allows you to either clear the active sheet or access the "Check Data" function to verify the correctness of your data.

The "LOAD AIF XML" button : from this Cover page, click on this button to import a previously generated Zip or Xml report.

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How to organize

Easy and practical way to organize your files (templates, reports & feedbacks)

From your Windows workstation the network drive (X:\) is shared by your team in charge of the AIFM reporting
Create the following directory structure, add as many sub-directories as number of entities

X:\AIFMReporting	Main directory
..V01_MasterTemplates	Store a copy of the original excel template, do not modify them, just copy
..V02_RGenAIFM	If authorized by IT, RGen AIFM is portable and can be run from a file disk drive
..VA01234	Directory dedicated for the AIFM A01234
..V2023	Created by RGen, archives of templates & reports classified per year
..V2024	Sub-dirs may be created, we advise to copy the feedbacks in these directories
..VA01234_V05678	Directory dedicated for the AIF V05678 (under the AIFM A01234)
..VA01234_V05679	Save above for AIF V05679 (and so on, as many sub-dirs than entities)

Copy the corresponding macro from the Master copy then rename it accordingly to the entity's code + period :

AIFMTemplate_A01234_2023.xlsm	Copy of the macro for AIFM A012345 for 2023 (yearly)
AIFMTemplate_V05678_2023Q2.xlsm	Copy of the macro for AIF V05678 for Q2 of 2023 (quarterly)

Use the 2 fields on the Cover page to write down AIF/AIFM and reporting period information (max 65c)

AIF information :	Write here AIF name + code
Reporting date / other :	Write here the reporting period, first, second or third sending, and/or other information

For the 2nd or + reports, make a copy of the last filled template and rename it with the new period :

AIFMTemplate_V05678_2023Q2.xlsm	==>	AIFMTemplate_V05678_2023Q3.xlsm
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Delete and clean up directories to conserv only the necessary files : filled templates, reports and feedbacks.

Generate report

Generate the XML reports from a filled template

Once you finished to fill a template, save & close it (closing the file from excel is mandatory)

Example : Filled template is named AIFMTemplate_V05678_2023Q2.xlsm
The file is located in the directory X:\AIFMReporting\A01234_V05678\

A - Using RGen AIFM manually

1. Launch RGen AIFM and select the type of operation (AIF, AIFM, AIF_Cancel, AIFM_Cancel).
2. Click on the "browse" icon and select the file (AIFMTemplate_V05678_2023Q2.xlsm) to be converted.
3. Click on Generate button - Application will return a Success or Error window.
- 4a. In case of Error the main error line will be displayed and a log will be available to help to determine the cause.
- 4b. In case of Success a summary will be displayed, report is saved in the configured directory, ready to be sent.

B - Using RGen AIFM semi-automatically [\[More info here \]](#)

1. Copy the template you just filled in the INPUT directory (a copy is better as the file will be archived after processing).
2. Double click on the icon to launch RGen AIFM **silently**, the file will be processed whatever the result is.
- 3a. If a report was successfully generated it'll be located in the configured OUTPUT directory.
- 3b. If an error occurred during the conversion it'll be written in the main log or the dedicated log in the error directory.
4. In both cases **the original report will be removed** from the INPUT folder and placed in the \Archive or \Error one.

Refer to the Hints & Links page for links to access more documentation on RGen AIFM.

We made our templates "self-sufficient" to ease the work of users in charge of filling

- ✓ General help on cover page to ease introduction to the templates
- ✓ Links to external official documentations from ESMA or CSSF
- ✓ Cell's comment for each item, extra inline help, listed values (drop lists), limited formats in entry
- ✓ AIF: dynamic sheets available upon "AIF Content type" chosen

Close up on Templates

Clear, customised & intuitive templates for users

Many useful information added: help screens, cell's comment for each item, external links

Listed values (drop lists) for all fields requiring a precise input

All cells contain a data validation which prevent to enter inadequate values

Many other extra functions (XML importation, data validity check, ...)

Visual details & information (to easily identify important fields)

1 Reporting Member state	Mandatory field	Bold font, light yellow background
31 Old AIF national identifier - Reporting Member State	Conditional field	Normal font, white background
10 Change in AIF reporting obligation frequency Code	Optional field	Italic font, white background

Percentage check fields (when the sum of % must be 100%)

0,00	----- % Check	102,00	----- % Check
------	---------------	--------	---------------

Clear & highlighted description (short help information for each item)

5 AIF Content type

Code indicating the contents of the AIF reporting.
The AIF content types admitted are :

- 1 - for "24(1) reporting obligation"
- 2 - for "24(1) + 24(2) reporting obligation"
- 3 - for "3(3) (d) reporting obligation"
- 4 - for "24(1) + 24(2) + 24(4) reporting obligation"
- 5 - for "24(1) + 24(4) reporting obligation"

When the AIF no reporting flag is false :

- The block "AIFPrincipalInfo" will be filled in for all AIF content types.
- The block "AIFIndividualInfo" will be filled in for AIF content types equal to "2" and "4"
- The block "AIFLeverageArticle24-2" will be filled in for AIF content types equal to "2" and "4"
- The block "AIFLeverageArticle24-4" will be filled in for AIF content types equal to "4" and "5"

* **Mandatory**

Autocomplete (many choices selection/drop lists)

<input type="checkbox"/> true <input type="checkbox"/> false	115 Market code type MIC OTC XXX NOT	107 Market code 24EX 3579 360T 4AXE A2XX AACA AAPA AATS ABAN ABFI ABNA ABSI	65 Sub-asset type code of the instrument CIU_NAM_AETF CIU_NAM_MMFC CIU_NAM_OTHR CIU_OAM_AETF CIU_OAM_MMFC CIU_OAM_OTHR DER_CDS_EXOT DER_CDS_INDEX DER_CDS_OTHR DER_CDS_SNFI DER_CDS_SNOT DER_CDS_SNSO
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Data validation rules (help information at cell selection)

35 ISIN code Must be 12c	109 Aggregated value percentage Percentage, between 0,00 and 100,00	291 Controlled structure LEI code Must be 20c
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Data validation rules (dedicated error message when wrong data captured)

Invalid value Only positive numbers allowed, maximum of 15 characters, no decimals [Retry] [Cancel] [Help]	Invalid value Must be a pourcentage between 0.00% to 100.00% [Retry] [Cancel] [Help]
Microsoft Excel This value doesn't match the data validation restrictions defined for this cell. [Retry] [Cancel] [Help]	

Errors information pop-ups (for common errors spotted instantly while typing)

Worksheet name : AIF 24-1H
Active Cells : D49
There must be only one Primary strategy !
There is already another Primary Flag (item 59) set to true.
Please correct your data...

Data verification function (easily check data accuracy)

LOAD AIF XML

LOAD AIF XML

Success

The AIF report has been successfully loaded.
Please check imported data.

Save current directory as default directory

LOAD AIF XML

Error

There was a problem with the loading of your AIF report.
Please check imported data.

OK

Data verification function (easily check data accuracy)

AIF - Base Currency Information

Data Type Reported Data

48 Total AuM amount of the AIF in base currency 1,000,000,000

49 Base currency of the AIF according to ISO 4217 USD

50 Base currency/EUR FX rate 0.9200

51 Base currency/EUR FX reference rate type ECB

52 Base currency/EUR FX ref. rate description (for stock view)

53 Total Net Asset Value of the AIF (NAV)

AIF - Jurisdictions of the three main funding sources (excluding units or shares of the AIF bought by Investor)

54 First funding source country

55 Second funding source country

56 Third funding source country

AIF - AIF Type

57 Predominant AIF type (select one) PEQF

AIF - Breakdown of investment strategies

Provide a breakdown of the investment strategies of the AIF depending on the predominant AIF type selected in Item "57".

58: Strategy type - investment strategy code. Investment strategies are mutually exclusive, except when AIFs select "None".

59: Primary Flag - Indicate whether the sub-strategy best describes the AIF's primary strategy. There is only one primary investment strategy.

60: NAV Rate - Share in NAV (%) - Expressed as a percentage for each reported investment strategy. The sum of all the % should be 100%.

61: Other Description - Description for strategy type Other - free description, mandatory (when Other strategy type filled in).

Use cursor over cells/Items 58 to 61 for more contextual information.

Strategy Type	Primary Flag	NAV Rate	Other Description
A/ Hedge Fund Strategies			
Equity: Long Bias	EQTY_LGBS		
Equity: Long/Short	EQTY_LGST		
Equity: Market Neutral	EQTY_MTNL		
Equity: Short Bias	EQTY_STBS		
Relative Value: Fixed Income Arbitrage	RELV_FISA		
Relative Value: Convertible Bond Arbitrage	RELV_CBAR		
Relative Value: Volatility Arbitrage	RELV_VLAR		
Event Driven: Distressed/Restructuring	EVDR_DSRS		
Event Driven: Risk Arbitrage/Merger Arbitrage	EVDR_RAMA		
Event Driven: Equity Special Situations	EVDR_EYSS		
Credit Long/Short	CRED_LGST		
Credit Asset Based Lending	CRED_ABGL		
Macro	MACR_MACR		
Managed Futures/CTA: Fundamental	MANF_CTAF		
Managed Futures/CTA: Quantitative	MANF_CTAQ		
Multi-strategy hedge fund	MULT_HFND		
Other hedge fund strategy	OTHR_HFND		
		0.00	% Check
B/ Private Equity Strategies			
Venture Capital	VENT_CAPL	false	50.00
Growth Capital	GRTN_CAPL	false	40.00
Mezzanine Capital	MZNE_CAPL		
Multi-strategy private equity fund	MULT_PEQF	true	
Other private equity fund strategy	OTHR_PEQF		
		90.00	% Check

Test results

There are 2 errors detected on this sheet.
See cells in red.

[C12] 'Item 53' Need a numerical value
[E51] 'Item 60' The sum of all the percentages should be 100%

OK

Quick data deletion (clear an entire tab or report in one click)

Clear sheets

Confirmation required

Do you really want to delete all data from this report ?
IMPORTANT !
Please close all other Excel files before starting.

Cancel

Clear sheet

Confirmation required

Do you really want to delete all data from the sheet 'AIF 24-1A' ?
IMPORTANT !
Do not click on any other Excel file during the process.

Cancel Confirm

RGen (AIFM) is a smart & intuitive application running on any Windows OS (Server & Workstation)
Manually : select a filled template (,verify the information, edit the file) and click “Convert”.
Automatically : it'll convert silently any template & generate the final report, it can also send status emails.

The screenshot shows the RGen AIFM application interface. The title bar reads "RGen U IT - RGen AIFM". The main window is divided into several sections:

- 1. Open, Edit XLS, Refresh**: A sidebar on the left with a circular icon containing a document and a refresh symbol.
- 1.1. File & Folder**: A text input field for "Folder" containing "D:\UIT\RGenAIFM_Reports" and another for "File" containing "UIT_AIFTemplate.xlsm".
- 1.2. Excel template information**: A line of text showing "Template: AIF Version: v3.0 Country: LU AIFM code: A00000001 AIF code: V00000001_00000000 Period: Y1 2023".
- 2. Convert to XML**: A sidebar on the left with a gear icon and a checkbox labeled "Delete file on success".
- 2.1. Conversion status panel**: A scrollable text area showing logs: "11:26:31 - Start processing", "11:26:31 - Template information - AIF - AIFREP-100000000-A00000001-V00000001-00000000-AIF-20240705112631.xml", "11:26:33 - No error spotted. XML successfully generated (+zip)", "Report name : AIFREP-100000000-A00000001-V00000001-00000000-AIF-20240705112631.xml", "Located in : D:\UIT\RGenAIFM\output", and "11:26:33 - Post processing : Backup of template & report done.".
- 2.2. Quick actions buttons**: A row of buttons: "Open folder", "Open ZIP", "Open XML", "Open log", "Send log", and "Send report".
- 3. Main menu**: A hamburger menu icon in the top right corner.

The version number "v2.0.0" is visible in the bottom right corner of the application window.

1. Open, Edit XLS, Refresh

Dynamic buttons: 2 extra mini-buttons will be displayed upon use
Instantly recognize a valid template

Normal



At startup of the application
When a bad template is selected
After conversion with option delete

+ refresh



When missing right on the file
When file was open in read only
When file is already opened

+ refresh & edit



When template is valid and
- not open in read only
- not opened in another process
After an error during conversion

Normal Mouse Click



Read again the selected file
Controls file presence, rights,
file in use

Normal Mouse Click Activated



Launch Excel and open the
template. Remains active until
file is closed

1.1. File & Folder

Open the file explorer in the default folder set in the options
User colours to inform on template status + eventual extra information added

Default folder

Folder: D:\AIFM Reporting

Normal situation

Folder: D:\AIFM Reporting\TopInvest_A01234\CaptureTemplates\2022-Q2
File: UIT_AIFMTemplate_A01234_2024Q2.xlsm

After a successful generation, when
the "Delete file on success" option
is activated

Folder: D:\AIFM Reporting\TopInvest_A01234\CaptureTemplates\2022-Q2
File: UIT_AIFMTemplate_A01234_2024Q2.xlsm (file removed)

When file is opened in read only

Folder: D:\AIFM Reporting\TopInvest_A01234\CaptureTemplates\2022-Q2
File: UIT_AIFMTemplate_A01234_2024Q2.xlsm

1.2 Excel Template information

Display key information of the loaded template
User colours to quickly inform if the template can be converted or not

Normal situation

Template: AIFM Version: v2.0 Country: LU AIFM code: A000001234 AIF code: / Period: Q2 2024

AIFM code: A000001234



This ID is not in your
license

Period: Q2 2024



Did we renew your license
for this new year?

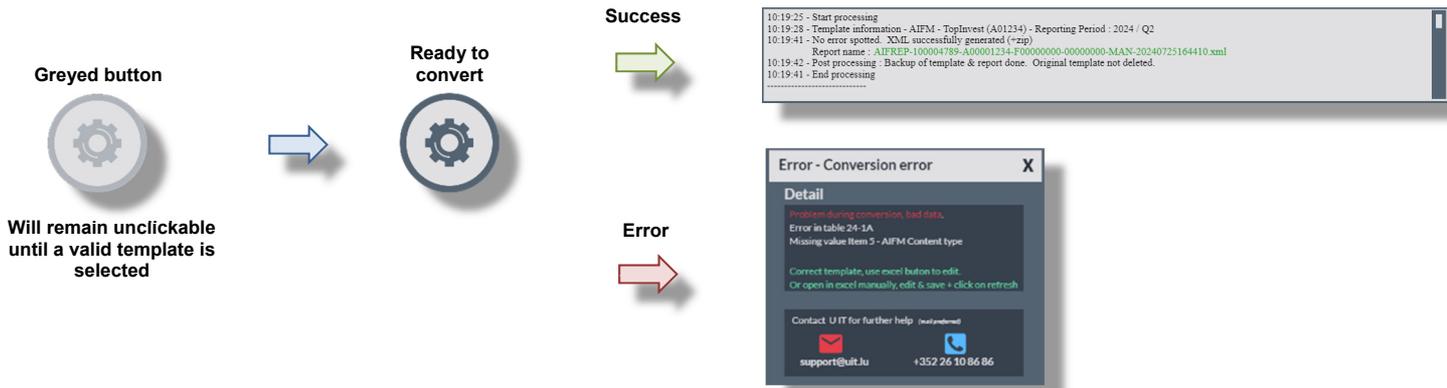
AIFM code: A000001234 Period: Q2 2024



Contact us

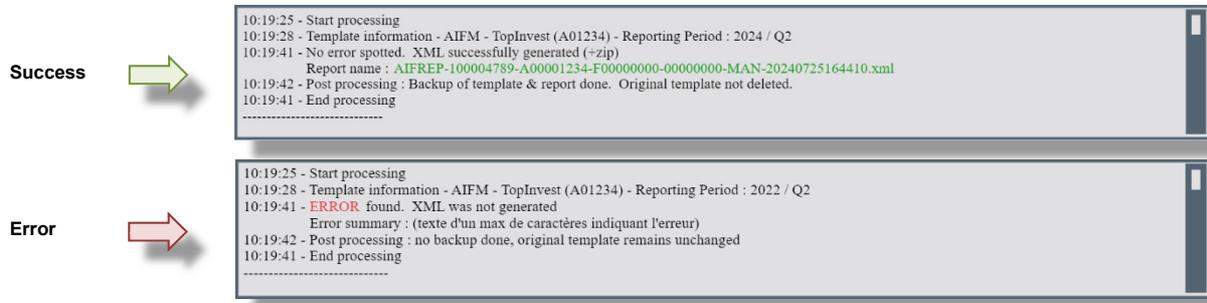
2. Convert to XML

Start conversion to XML, stop at first error found, display a detailed error message
 "Delete file on success" can be checked or unchecked on the fly



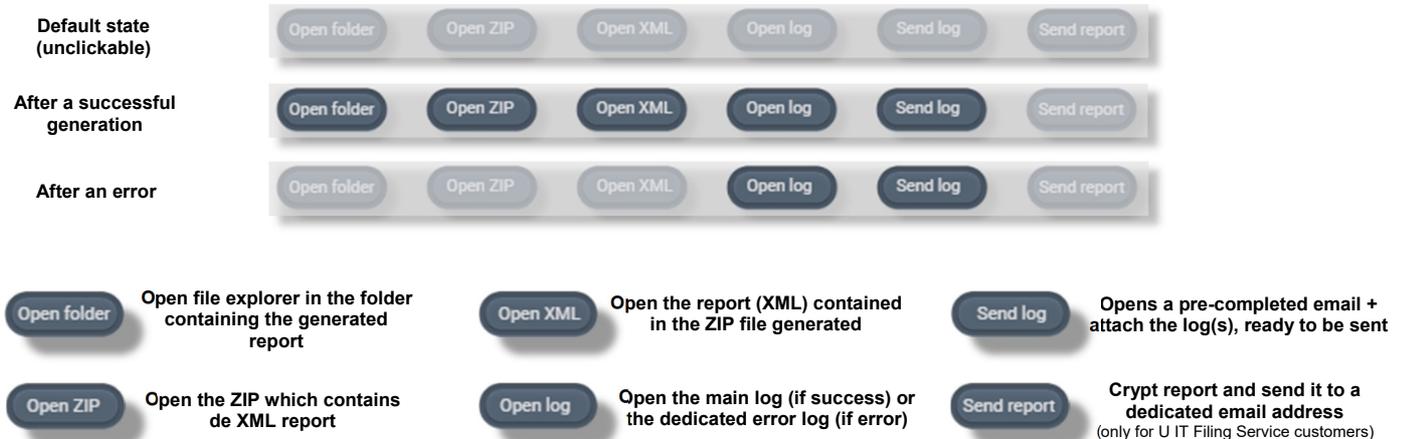
2.1 Conversion status

Display a summary of the conversion, add colours to highlight important information
 Add information on post treatments (delete template, backup)



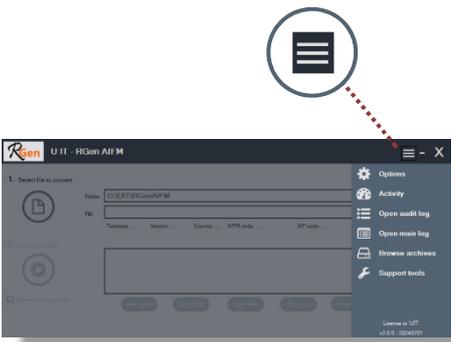
2.2 Quick actions buttons

A set of buttons that can become active (clickable) after a conversion (success or error)
 Help user to quickly verify the XML or, in case of error, send the logs to the support

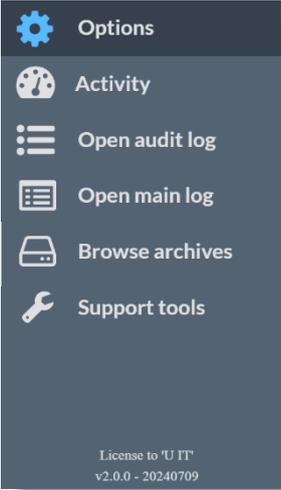


3. Main Menu

Open a menu on the right of the main window
Some options will open a new window (Options, Activity, Support tools)
Other options will perform a direct action (Open log, browse archives)



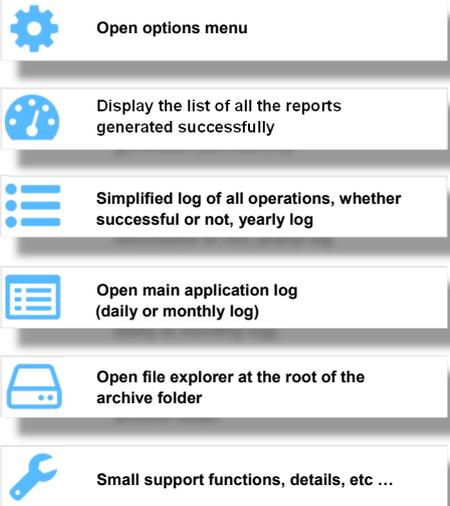
The screenshot shows the main application window with a callout circle highlighting the main menu icon in the top right corner. An arrow points from this icon to a detailed view of the main menu.



The main menu is a vertical list of options with icons:

- Options (gear icon)
- Activity (gauge icon)
- Open audit log (list icon)
- Open main log (list icon)
- Browse archives (archive icon)
- Support tools (wrench icon)

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-  **Open options menu**
-  **Display the list of all the reports generated successfully**
-  **Simplified log of all operations, whether successful or not, yearly log**
-  **Open main application log (daily or monthly log)**
-  **Open file explorer at the root of the archive folder**
-  **Small support functions, details, etc ...**