

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.

The screenshot shows the 'AIFM Reporting Excel Template' interface. It features a blue header with the UIT logo and the text 'UIT - RGen AIFM solution'. Below the header, there is a section for 'Capture template for AIFM / Annexe IV reporting' with fields for 'Version' (v3.0), 'Date' (July 2024), and 'AIFM information : Reporting date / other :'. To the right of these fields is a 'LOAD AIF XML' button. Below this section are five buttons: 'General', 'How to organize', 'Capture data', 'Generate report', and 'Hints & Links'. At the bottom of the interface, there is a dark blue box containing the UIT logo and contact information: '3, Route de Luxembourg 8440 STEINFORT Luxembourg', '+352 26 10 86 86', 'support@uit.lu for support', and 'licenses@uit.lu for commercial'. The bottom of the window shows a tab bar with 'Cover', 'AIFM 24-1A', 'AIFM 24-1B', 'AIFM 24-1C', and 'AIFM_Can ...'.

The screenshot shows the 'AIF Reporting Excel Template' interface. It features a blue header with the UIT logo and the text 'UIT - RGen AIFM solution'. Below the header, there is a section for 'Capture template for AIF / Annexe IV reporting' with fields for 'Version' (v3.0), 'Date' (July 2024), and 'AIF information : Reporting date / other :'. To the right of these fields is a 'LOAD AIF XML' button. Below this section are five buttons: 'General', 'How to organize', 'Capture data', 'Generate report', and 'Hints & Links'. At the bottom of the interface, there is a dark blue box containing the UIT logo and contact information: '3, Route de Luxembourg 8440 STEINFORT Luxembourg', '+352 26 10 86 86', 'support@uit.lu for support', and 'licenses@uit.lu for commercial'. The bottom of the window shows a tab bar with 'AIF_Cancel'.

- ✓ 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
Date May 2024

AIF information :
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 / Annex 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 :

- AIFFBR - Technical feedback. This feedback is there to acknowledge the good reception of the report (not content).
- AIFFDB - 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

Directory	Description
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
..A01234	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
..A01234_V05678	Directory dedicated for the AIF V05678 (under the AIFM A01234)
..A01234_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 :

Macro	Description
AIFMTemplate_A01234_2023.xlsm	Copy of the macro for AIFM A01234 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 :

Macro	Description
AIFMTemplate_V05678_2023Q2.xlsm	AIFMTemplate_V05678_2023Q3.xlsm

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

- Launch RGen AIFM and select the type of operation (AIF, AIFM, AIF_Cancel, AIFM_Cancel).
- Click on the "browse" icon and select the file (AIFMTemplate_V05678_2023Q2.xlsm) to be converted.
- 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)

- Copy the template you just filled in the INPUT directory (a copy is better as the file will be archived after processing).
- 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

Customised colours & interface enhancing user's experience but also facility of use

AIFM file: Articles 3 (3)(d) and Article 24(1) of Directive 2011/61/EU

AIF Header File	
Das Type	Reported Data
1 Reporting Member state	
2 Version	1.2
3 Creation date and time of the file	

AIF Header Section	
4 Filing type	
5 AIF Content type	
6 Reporting period start date	
7 Reporting period end date	
8 Reporting period type	
9 Reporting period year	
10 Change in AIF reporting obligation frequency Code	
11 Change in AIF reporting obligation contents Code	
12 Change in AIF reporting obligation Quarter	
13 Last reporting flag	

	Ranking	Date of the information	Investment date (year)	Investment name	Investment title code	Alt Exchange Code	Alt Exchange Product Code
Most important instrument	1						
2nd most important instrument	2						
3rd most important instrument	3						
4th most important instrument	4						
5th most important instrument	5						
Geogr a p h i c a l f o c u s							
Provide a geographical breakdown of the instruments held by the A.P. by percentage of the total net asset value of the A.P. The sum of all the area percentages should be 100%: "Aggr e g a t e d v a l u e"							
79	Africa						
80	Asia and Pacific (other than Middle East)						
81	Europe (other than EEA)						
82	Europe (EEA)						N/A check
83	Middle East						0.00
84	North America						
85	South America						
86	Reinvestment of multiple repops						
Provide a geographical breakdown of the instruments held by the A.P. by percentage of the total aggregated value *. The sum of all the area percentages should be 100%: "N o t A g g r e g a t e d v a l u e"							
87	Africa						
88	Asia and Pacific (other than Middle East)						
89	Europe (other than EEA)						
90	Europe (EEA)						N/A check
91	Middle East						0.00
92	North America						
93	South America						
94	Reinvestment of multiple repops						

AIFM file: Articles 3 (3)(d) and Article 24(1) of Directive 2011/61/EU

AIF Identification		
	Data Type	Reported Data
16	AIFM national code	
17	AIF national code	
18	AIF name	
19	AIF EEA flag	
20	AIF reporting code	
21	Domicile of the AIF	
22	Inception date of the AIF	
23	AIF no reporting flag	

Fund Identification Codes, as applicable

24	AIF LEI code	
25	AIF ISIN code	
26	AIF CUSIP code	
27	AIF SEDOL code	
28	AIF Bloomberg code	
29	AIF Reuters code	
30	AIF ECB code	
31	Old AIF national identifier - Reporting Member State	
32	Old AIF national identifier - National code	

Share Class Identification Codes, as applicable

33	AIF share class flag	
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AIF - Base Currency Information	
Data Type	Reported Data
48 Total AuM amount of the AIF in base currency	
49 Base currency of the AIF according to ISO 4217	
50 Base currency/EUR FX rate	
51 Base currency/EUR FX reference rate type	
52 Base currency/EUR FX ref. rate description (for no ECB rates)	
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 investors)	
54 First funding source country	
55 Second funding source country	
56 Third funding source country	
AIF - AIF Type	
57 Predominant AIF type (select one)	
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 AIFMs 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 58 to 61 for more contextual information.

58	59	60	61
Strategy Type	Primary Flag	NAV Rate	Other Description
A/ Hedge Fund Strategies			
(Complete this question if you selected Hedge Fund [MFND] as the predominant AIF type in Item "57" . Report only relevant sub strategies)			
Strategy Type	Primary Flag	NAV Rate	Other Description
Equity: Long Bias	EQT_Y_LGBS		
Equity: Long/Short	EQT_Y_LGST		
Equity: Market Neutral	EQT_Y_MTNL		
Equity: Short Bias	EQT_Y_STBS		
Relative Value: Fixed Income Arbitrage	RELV_FXIA		
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_ABLG		
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					[Complete this question if you selected Private Equity [PEQ] as the predominant AIF type in Item "57". Report only relevant sub strategies]
Strategy Type	Primary Flag	NAV Rate	Other Description		

[illegible]

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	100,00	----- % Check
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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="text"/> true 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_INDX 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%

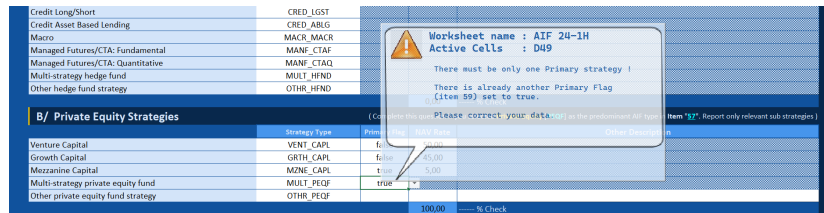
Retry Cancel Help

Microsoft Excel

This value doesn't match the data validation restrictions defined for this cell.

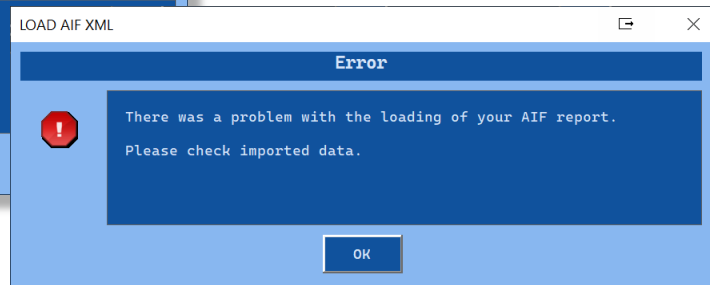
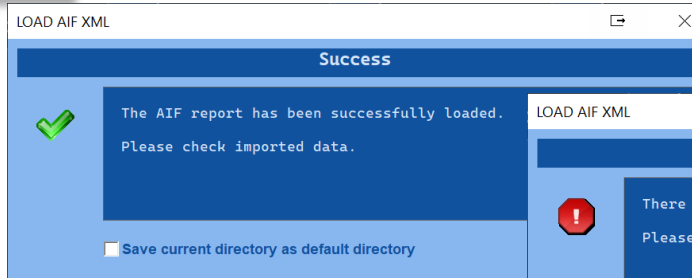
Retry Cancel Help

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



Data verification function (easily check data accuracy)

LOAD AIF XML



Data verification function (easily check data accuracy)

AIF - Base Currency Information

Date 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 switch 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 investors)

Date Type	Reported Data
54 First funding source country	
55 Second funding source country	
56 Third funding source country	

AIF - AIF Type

Date Type	Reported Data
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'.

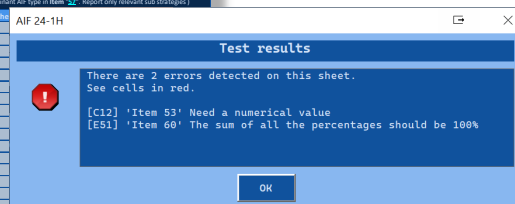
59 : Primary Flag - Indicate whether the sub strategy best describes the AIF's primary strategy. There is only one primary investment strategy.

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

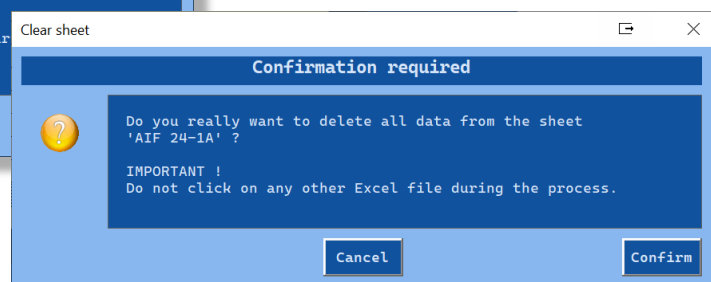
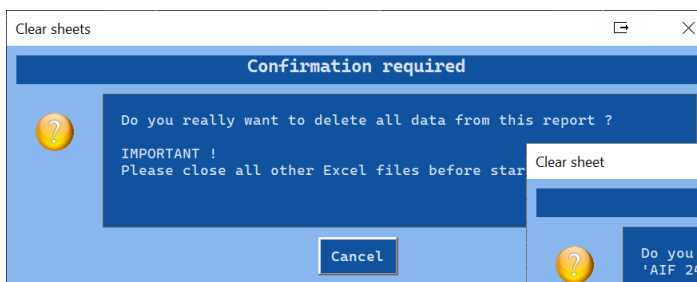
61 : Other Description - Description for strategy type Other - Free description, mandatory (when Other strategy type filled in).

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

Strategy Type	Primary Flag	NAV Rate	Other Description
A/ Hedge Fund Strategies			
(Complete this question if you selected Hedge Fund (HFN) as the predominant AIF type in item "57". Report only relevant sub 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			
(Complete this question if you selected Private Equity (PEQF) as the predominant AIF type in item "57". Report only relevant sub strategies.)			
Venture Capital	VENT_CAPL	false	50.00
Growth Capital	GTHN_CAPL	false	45.00
Mazzanini Capital	MZNE_CAPL		
Multi-strategy private equity fund	MULT_PEQF	true	
Other private equity fund strategy	OTHR_PEQF		
		95.00	% Check



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



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 displays the RGen AIFM application window. The title bar reads "RGen U IT - RGen AIFM". The interface is divided into a left sidebar and a main content area. The sidebar contains two main sections: "1. Select file to convert" with a file icon and "2. Convert to XML" with a gear icon. Below the gear icon is a checkbox labeled "Delete file on success". The main content area includes input fields for "Folder" (D:\UIT\RGenAIFM_Reports) and "File" (UIT_AIFTemplate.xlsm). Below these fields, it displays template information: "Template: AIF", "Version: v3.0", "Country: LU", "AIFM code: A00000001", "AIF code: V00000001_00000000", and "Period: Y1 2023". A large text box shows the conversion status with a log of events: "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.". At the bottom of the main area are several buttons: "Open folder", "Open ZIP", "Open XML", "Open log", "Send log", and "Send report". The version "v2.0.0" is shown in the bottom right corner. Red callout boxes with white text point to various elements: "1. Open, Edit XLS, Refresh" points to the file icon; "1.1. File & Folder" points to the folder input field; "1.2. Excel template information" points to the file input field; "3. Main menu" points to the hamburger menu icon; "2. Convert to XML button" points to the gear icon; "2.1. Conversion status panel" points to the log text box; and "2.2. Quick actions buttons" points to the "Send log" button.

1. Open, Edit XLS, Refresh

1.1. File & Folder

1.2. Excel template information

3. Main menu

2. Convert to XML button

2.1. Conversion status panel

2.2. Quick actions buttons

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

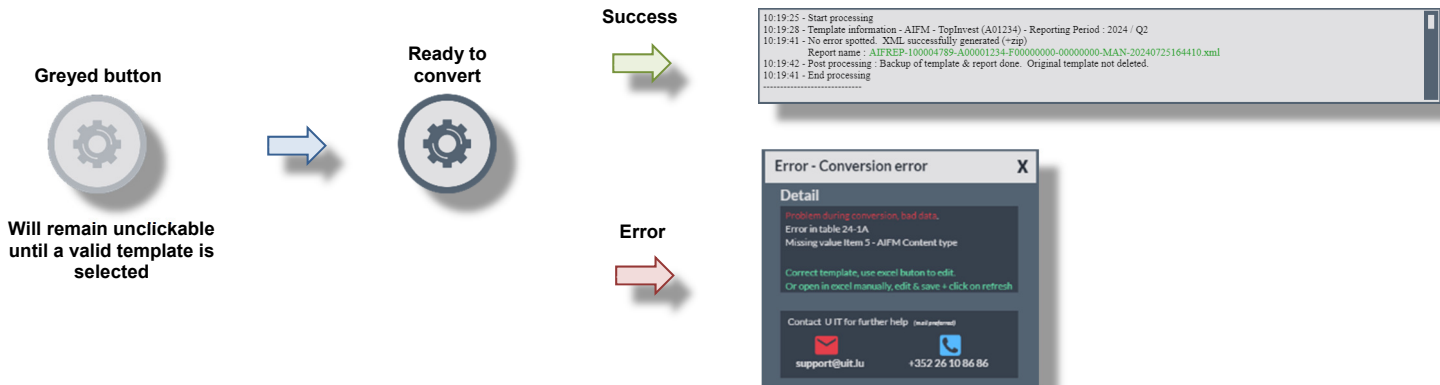
Period : Q2 2024



Contact us

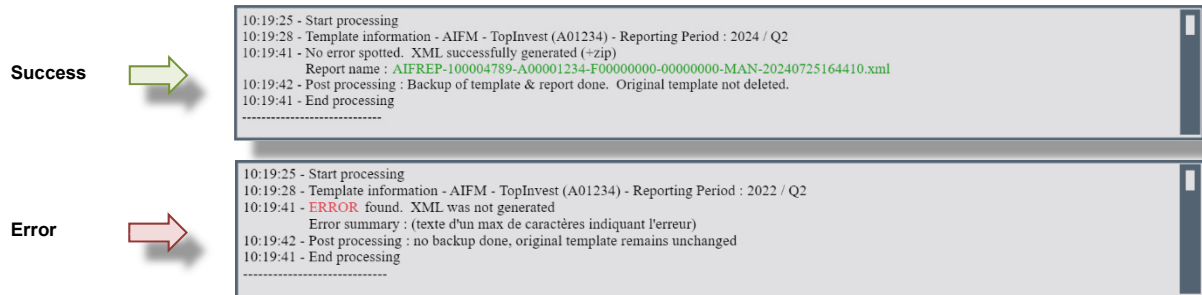
2. Convert to XML

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



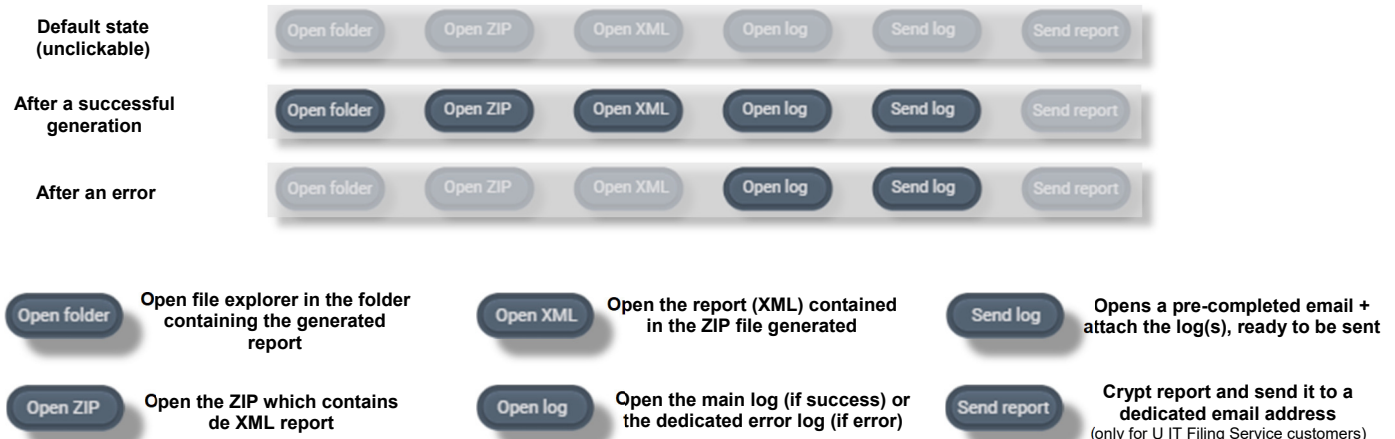
2.1 Conversion status

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

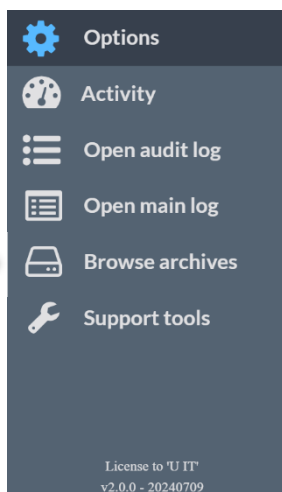
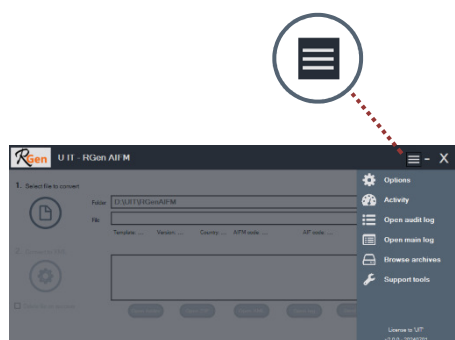


3. Main Menu

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)



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 ...