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S106 Builder Documentation		
Version	Date	Project
v2025	05/2025	RIF GUI

RIF GUI
S106 Builder
Version 2.1+ – Release 2025

Documentation

Table of Contents

System Requirements

The RIF GUI are compatible with Excel 2010, 2013, 2016, 2019, 2021 & 2024.
Older office versions (2000, 2002, 2003, 2007) are not supported.

Office / Excel 2010

Requires Service Pack 1 or Service Pack 2.

Office / Excel 2013

Runs on original version or Service Pack 1.

Office / Excel 2016, 2019, 2021 & 2024

Runs fine on these versions of excel. No unresolvable issue met since – usual problems are often caused by limited rights or too high security settings.

In case of problem using the tool :
- Contact first your IT, usual problems are caused by limited rights & security settings.
- Contact us or ask your IT to contact us.

Reference table of exact Excel versions compared with their common yearly denomination:

Release year	Common name	Version	Included in office
1999	Excel 2000	v9.0	Office 2000
2001	Excel 2002	v10.0	Office XP
2003	Excel 2003	v11.0	Office 2003
2007	Excel 2007	v12.0	Office 2007
2010	Excel 2010	v14.0	Office 2010
2013	Excel 2013	v15.0	Office 2013 & Office 365
2016	Excel 2016	v16.0	Office 2016 & Office 365
2019	Excel 2019	v16.0	Office 2019 & Office 365
2021	Excel 2021	v16.0	Office 2021 & Office 365
2024	Excel 2024	v17.0	Office 2024 & Office 365

Section Header

Header Information

Place the cursor over the violet titles to display explanatory information about those fields.
In this section only the white fields can be modified by the user. The grey fields cannot be modified.

The **Company name** can be changed by clicking on the field and modify the text :

The following window will pop-up :

Fields will be pre-filled if already set

Use this screen to modify the information.
If you select or enter a wrong RCS code which is not
part of your license list, a warning message will
be displayed, preventing to save wrong data.

Explanation of Short Name is detailed in a further chapter.

Administration button

Displays the options & administration panel

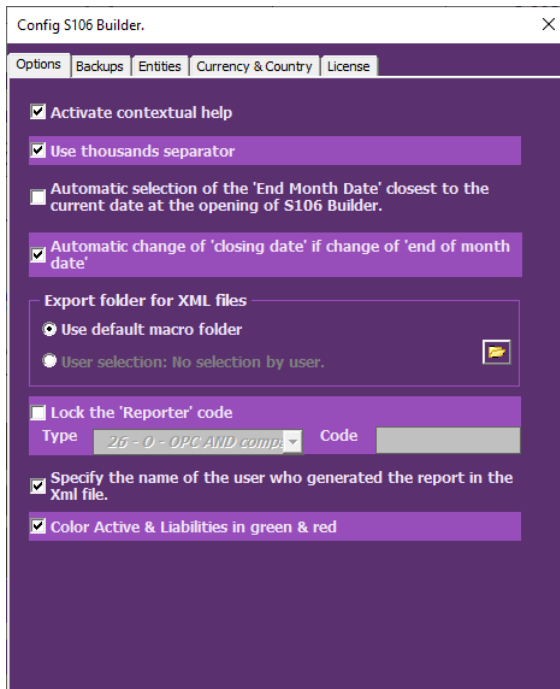The panel is divided in 5 sections (tabulations – TAB):

Options

Backups

Entities

Currency & Country

License

Options TAB

Activate contextual help
Displays comment sections over the fields, providing information/directions to the users.

Use thousands separator
When activated, separates big numbers in thousands by applying a space as a delimiter between the digits. This option helps the user identify easier the length of a long number.

Auto selection of the "End Month Date"
When launching the application, the reporting period : "End of month date" is set to the closest reporting date. For example, if the current date is 22/05/2022 the End of month date will be set to 31/05/2022.

Auto selection of the "Closing Date"
If checked, the tool will automatically update the "Closing Date" when the "End Month Date" is modified by the user.

Default folder
Set by default to the same directory than the macro (macro folder).
Select the second option and click on the folder icon to set a dedicated or common folder for all entities.

Lock reporter code
Allow the user to lock the fields "Type" and "Code" of the reporter to prevent to :
- Re-type the Reporter's code for each entity, each month.
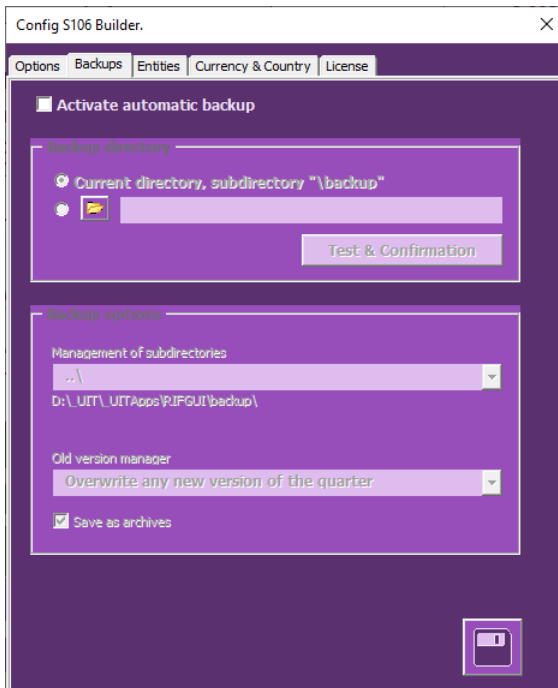- Commit an error by typing a wrong code.

Specify the name of the user who generated the report in the XML file
Set by default. This option allows adding in the comments section of the report, the name of the user (windows session username) who is performing the report's generation.

Active & Passive color
Set by default. Visual preference allowing colorizing the backgrounds cells of Active & Passive cells in Green and Red.
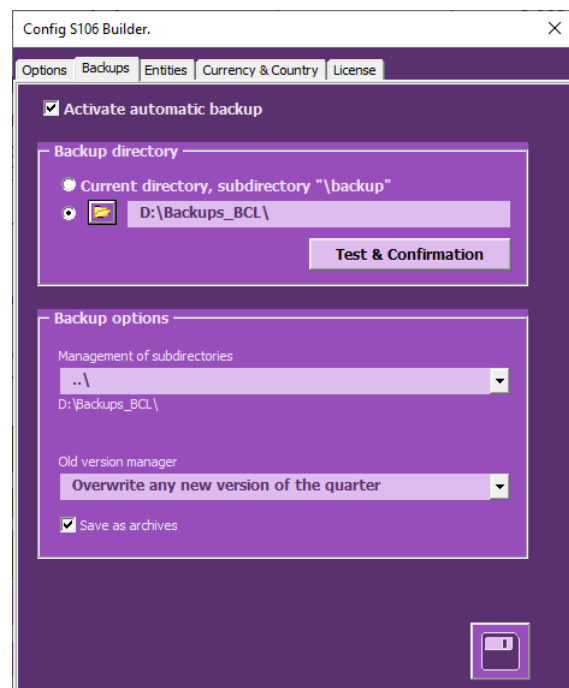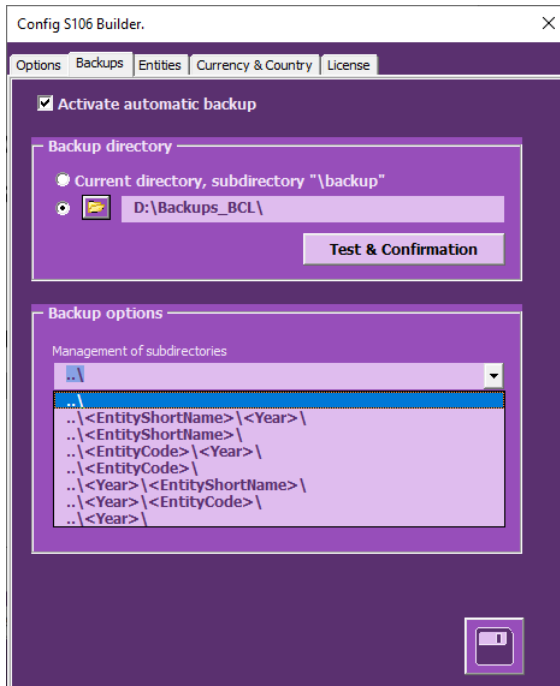
Backups TAB

By default, the option is not activated.

When you activate it the default location where the tool will copy the backups will be the subdirectory : "\backup" from where the macro is located.

Select the second option and click on the folder button to select a directory.

In both cases, click on the "Test & Confirmation" button to verify if the tool has the sufficient rights to write and create sub-directories in the selected directory.

In the backup option section, select one of the proposed options to classify the backups in a pre-determined sub-folder structure.

An example of the directory structure chose is displayed under the selection field.

Choose one of the 3 options available to manage the old version of any report of the same period :
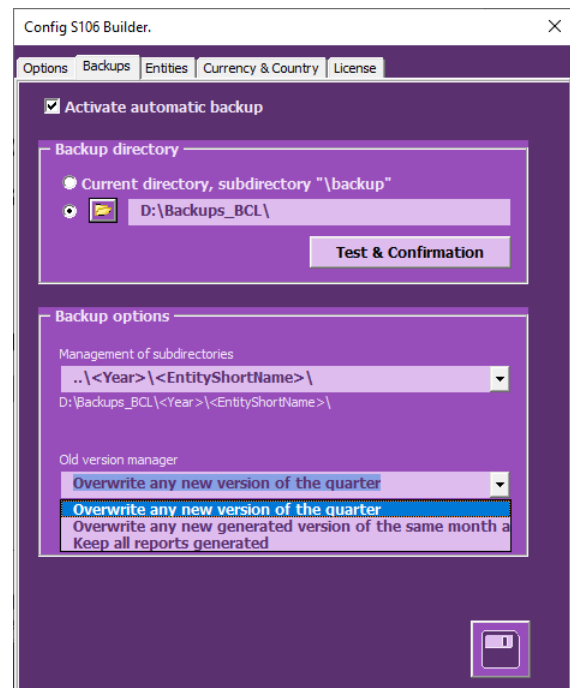
Overwrite any new version of the quarter

Only one backup will be kept by reporting period. This means that the tool will only keep the latest report generated for a specific period. In practice, the backup for one entity for 1 year will be 12 TPTOBS reports and 4 S106 reports.

Overwrite any new generated version of the same month and day

Will perform a backup of all reports generated even for a same reporting period, unless the report is generated a same day. In this case, the tool will keep the latest backup of the day.

Keep all reports generated

Will back up all reports generated, adding a timestamp to the filename of any older version of any report generated.

Last option "Save as archive". If activated, the tool will store the reports under a ZIP file, one by month.

If one reports for multiple entities and wish to use this backup functionality, it is recommended to configure the backup options on the master copy of each tool. For instance, select a unique backup directory, choose a sub-classification by year then by entity short name, choose your preferred option on how to handle old version then save the changes and use this master copy of the tool to create as many copies as you need.
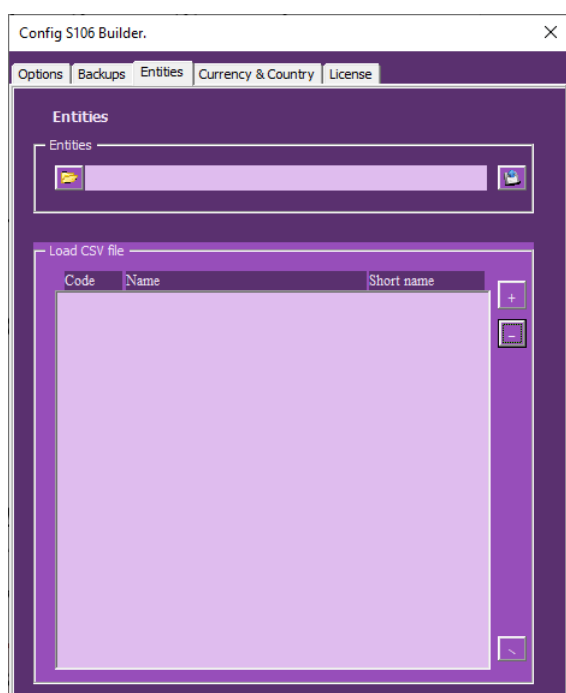
Entities TAB

This panel allows the reporting company to set a correspondence between the company name and its DSE code, it also allows to add a "short name" to reference the entity (see further explanations).

The 2 practical advantages are :
- Automatically update the entity name and short name when selecting or modifying the entity code (DSE)xxxxxxxxx of the Declarer field.
- Automatically update the entity name and short name when loading a report.

Furthermore, it also helps users to avoid entering wrong entity data if a strict list of entities is set in the tools.

From the option screen you can load the list of entities, format is 3 columns with semicolon ";" as separator.

Example :
000001111; First Company Name; First
000002222; Second Company Name; Second
000003333; Third Company Name; Third

> *- The BCL code starting with DSE is also accepted.*
> *- Short Name is not mandatory but advised.*
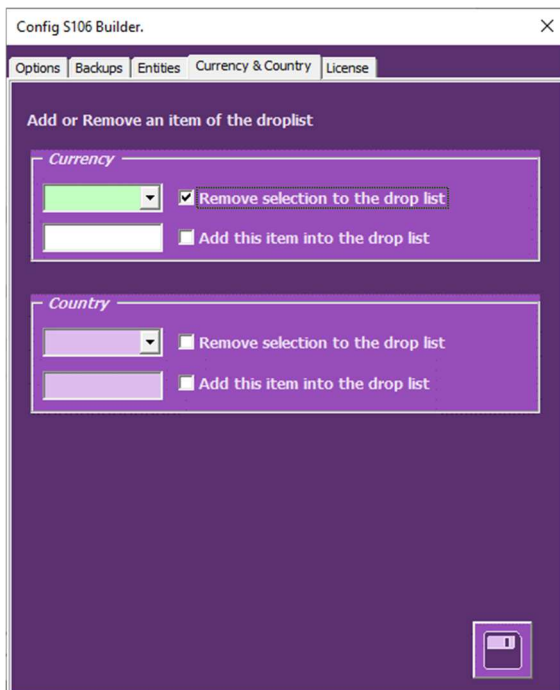
An example of 3 entities listed.
Button + or – allows to add or remove one entity.
Bottom "arrow" button allows exporting the list.

To test it, from the main screen of the tool,
type or select an entity in the declarer's field,
the company's name and short name will be
updated.
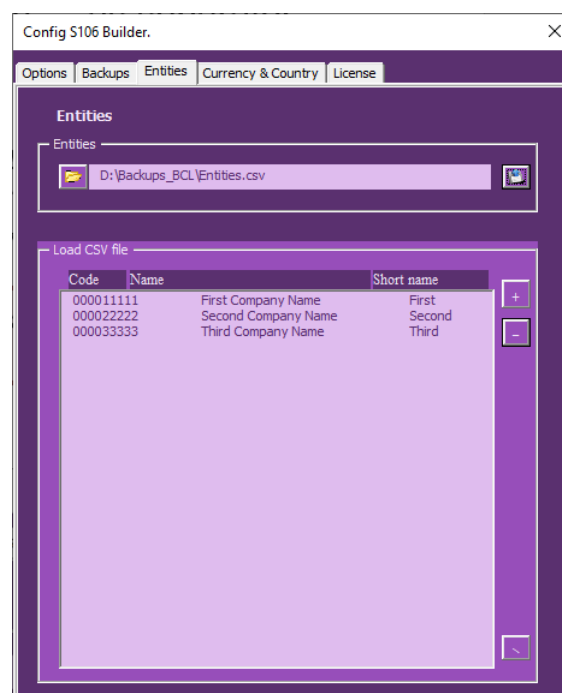
> *As for the previous point about the backup, if you report for multiple entities and want to use this function, set the list of your entities using a simple excel with 3 columns, save it in "CSV" format, load it from this panel and save the macro as your master copy. Update the list from the same master copy if you add or remove entities during the year.*
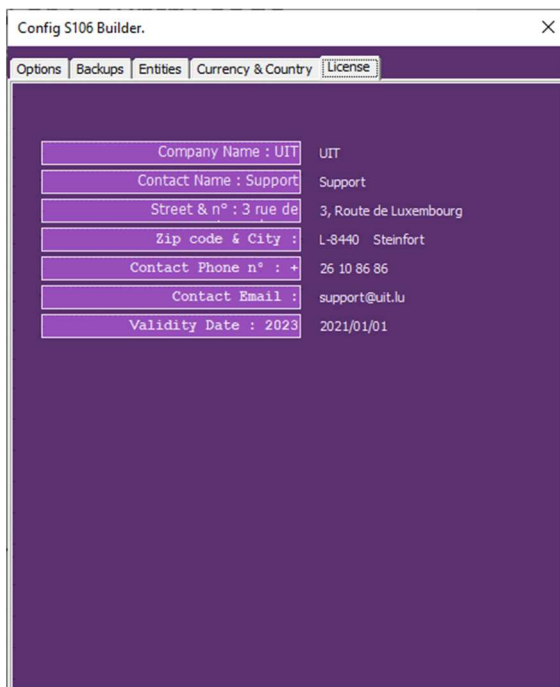
Currency & Country TAB

By default, the drop lists Country/Currency of the Assets/Liabilities tables contain all the available countries and currencies to transact with.

If the users want to limit this content to their transactional needs, this can be done by removing any item from the list.

To REMOVE, select in the currency in dropbox, check the confirmation box and click on SAVE.

To ADD, type in the new Currency or Country code, check the confirmation box and click on SAVE.

License TAB

Displays the license information.

U IT Button

This button will display the support information window.

From this screen, users can :

- Open the online documentation using the default browser.
- Verify and save the environment settings to help U IT support team in case of problem.
- Click on support@uit.lu to open a new email.
- Click on www.uit.lu to open U IT website.

Language Button

Switch between languages by choosing a flag (French / English).

Detailed header data

General information :

Grey fields values are fixed and automatically set by the tool. Any change will be discarded.
A company can report either for itself or for other companies. The Company which conducts the report is called the Reporter and the company to report for is the Declarant. If a company reports for itself, it should have the same fields filled for both Type/Code of Reporter/Declarant respectively.

Reporter - Type is the type of the company which does the reporting. The following options are included in the **Type** drop list :
- 01 Number allocated by the CSSF to other entities
- 05 Special code assigned by the BCL
- 06 Number allocated by the BCL to non-resident entities
- 23 Banks
- 26 OPC and SIF
- 27 SICAR
- 30 Management companies
- 32 PSF Company - Type P
- 36 PSF Company - IT Companies
- 40 Number allocated by the CSSF to AIFM
- 42 B Non-regulated Luxembourg's AIF (RCS n°Bxxxx)
- 42 K Non-regulated Luxembourg's AIF (RCS n°Kxxxx)

Click on the value to display the list.

Reporter - Code is the CSSF identifier for the company which is reporting, based on its RC number. It is coded in 9 digits (7 characters for type 42). Every number is preceded by '0' [zero].

Date fields: the **End Of Month Date** and month's **Closing Date** shall be, by default, the last day of the reporting month. Choose from **the End Of Month Date** drop list. A change in the month's end date automatically causes the same change in the Closing Date.

Version		End Month Date	
1.2		2022-12-31	
Creating Date		Closing Date	
2023-03-13T15:38:07		2022-12-31	

Currency		Reporter			
EUR		Type	27	Code	000000000
Layout		Declarant			
1		Type	27	Code	000000000

Currency: defines **in which** currency the report is **calculated**.
E.g. : If the selected currency is in euro, all the reported amounts that will be captured, will be considered in the euro currency.

Declarant – Type and Code
Either for your company or for the company for which the report is generated. It's the same list as the **Reporter**.

CSSF identifier encoded on 9 characters (12 characters for type 42)
The investment funds must use the identification number allocated by the CSSF : 5 digits for the number of the fund (7 digits for type 42) and 4 digits for the number of the compartment (5 digits for type 42).

Every number is preceded by '0' [zero].

Tool Section

Tools & functions overview

| Open S106	⇄	S0106_L1_202301_K000001111_K000001111_20230503_001.xml	Export S106
1	**2**	**3**	**4**

1 **Open S106** – Load / import a valid S106 XML report.
Open a file browser to select a former S106 report (xml file) to import.

2 **Refresh Filename** – refresh and validate the filename.
To check the future filename of the report (which is calculated automatically by the tool).

3 **Filename cell** – Display the exact filename of the report which will be generated.

4 **Export S106** – Generate the report based on captured data, in XML format.
By default, the button is greyed and isn't clickable unless the data are validated (using the Check button).

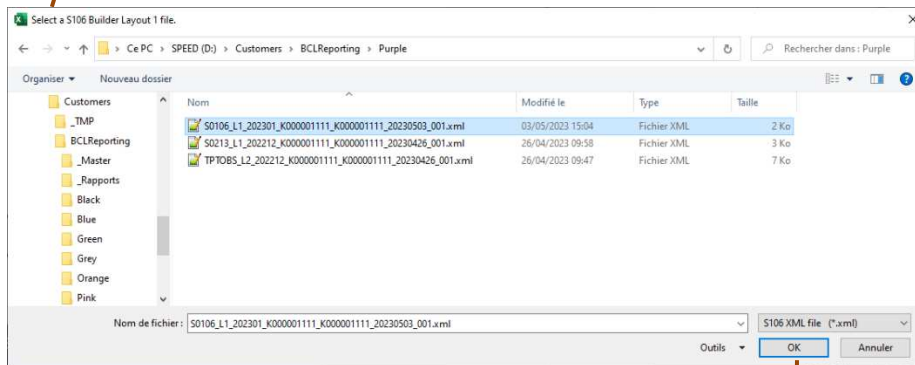The **Check** button located between both tables.

This button checks and validates the data prior exporting.
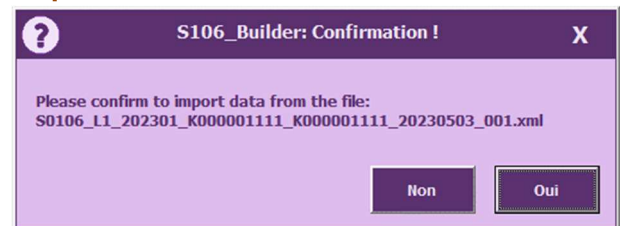
Open S106 button
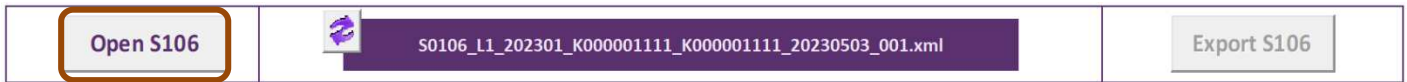
Click the **"Open S106"** button to open a file browser to select a report to be imported.
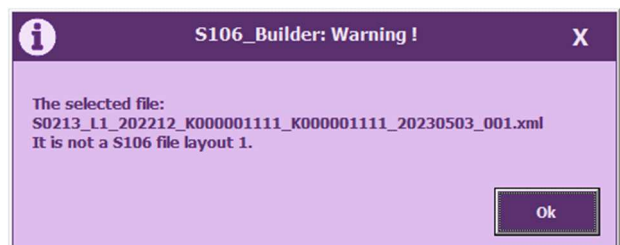

Select the report to load and click "OK".

The tool will ask for a confirmation
Click "Yes" to proceed or "No" to cancel.

If data are already present in the table, the following confirmation message will be displayed.

In case of bad or invalid report loaded, the following message will pop up.

Refresh filename button

| Open S106 | ⟳ | S0106_L1_202301_K000001111_K000001111_20230503_001.xml | Export S106 |

Updates and displays the report's filename in the main cell.
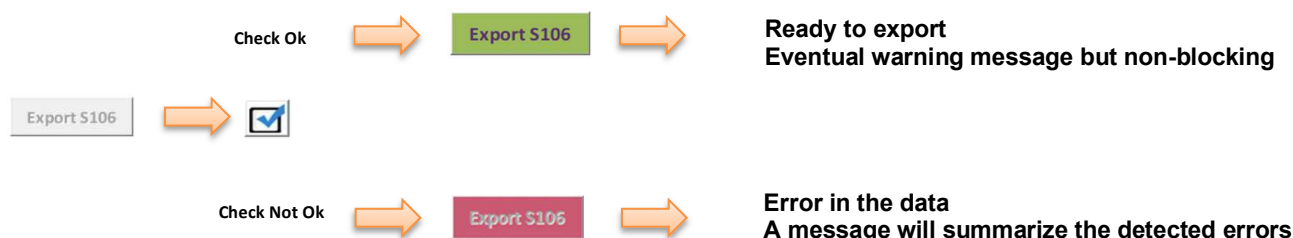<u>If there is an error with the filename, its color is turned to red.</u>

« Check » button

This button checks and verifies all the data captured based on report's circulars, rules and formats. All the data captured in both tables will be verified. In case of error, the user will be informed with a detailed message, the export button will remain greyed.

> *It's mandatory to use this function to prior to generate the report – see next point*

Summary view

Check Ok → **Export S106** → **Ready to export**
Eventual warning message but non-blocking

Export S106 → ☑

Check Not Ok → Export S106 → **Error in the data**
A message will summarize the detected errors

Check Ok

If the check is successful, the Export button will turn Green.

Export S106 → ☑ → **Export S106**

Check Not Ok

In case of error, the check function will display a message box, the wrong cells in the table will be highlighted and the Export button will remain greyed.
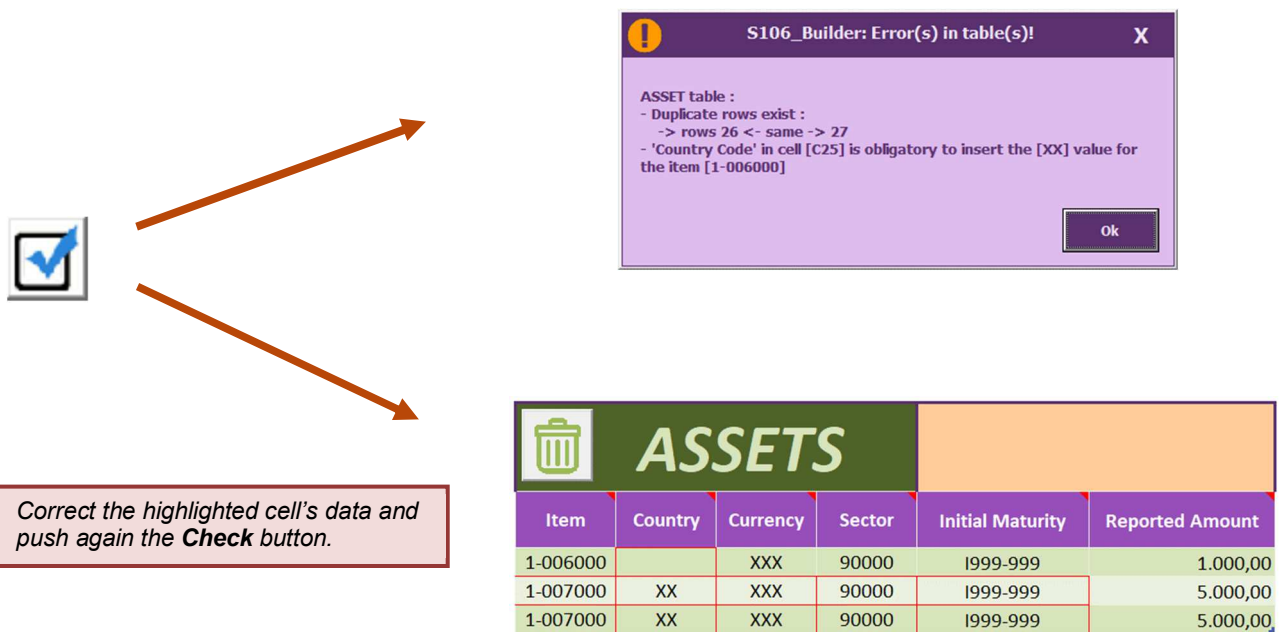
There are several errors that can occur in the Assets/Liabilities table :
- Pasting a wrong country or currency code.
- Insert multiple identical rows, …

For some specific items, there are restricted values that can be selected. They are limited to the [XX] and [XXX] values. This is the mandatory format for these cells. In order to not cause an error, they should be selected from the cell's list.

Example
In case of a wrong value, the tool displays a warning message and the cell's border which contains an error are highlighted with RED borders :

S106_Builder: Error(s) in table(s)!   X

ASSET table :
- Duplicate rows exist :
   -> rows 26 <- same -> 27
- 'Country Code' in cell [C25] is obligatory to insert the [XX] value for the item [1-006000]

Ok

*Correct the highlighted cell's data and push again the **Check** button.*

Item	Country	Currency	Sector	Initial Maturity	Reported Amount
1-006000		XXX	90000	I999-999	1.000,00
1-007000	XX	XXX	90000	I999-999	5.000,00
1-007000	XX	XXX	90000	I999-999	5.000,00

A Warning message box appears detailing the errors found.

One line per detected error is displayed.

In order to correct, the user must :
- For all the red bordered cells, click on them select values from the cell's drop lists.
  Once the cells' value corrected, the cells' borders turn into a green color.
  Test again data by clicking the Validation button.
- If there is no error, the **export S106** button will be enabled in order to export the S106 report.
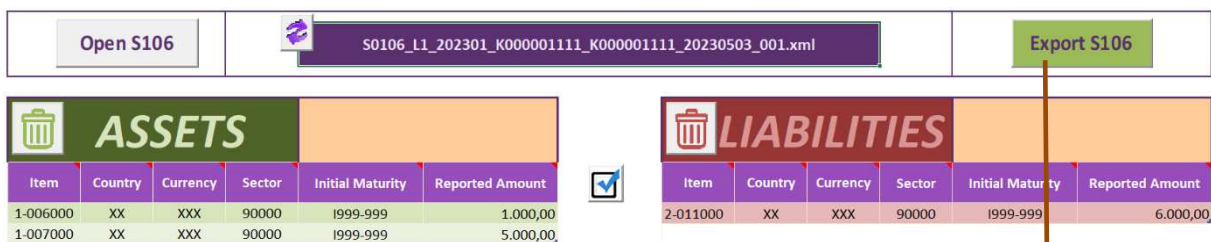
« Export S106 » button

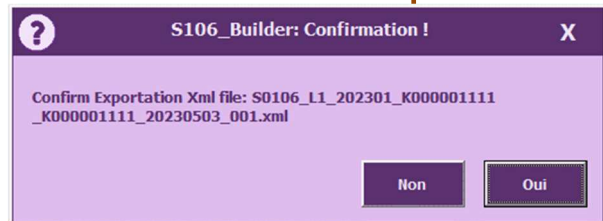Exports the captured data in XML format and generate the report.

Clicking on the Export S106 button will generate the report.

The tool will ask for a confirmation.
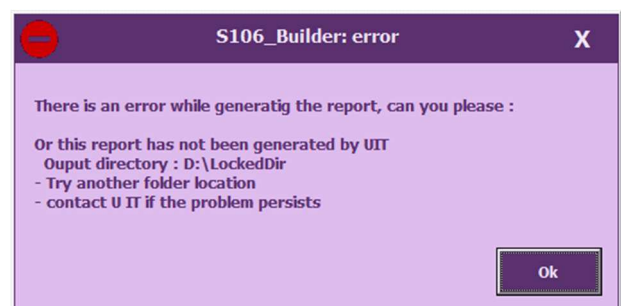Click "Yes" to proceed or "No" to cancel.

S106_Builder: Confirmation !

Confirm Exportation Xml file: S0106_L1_202301_K000001111_K000001111_20230503_001.xml

Non   Oui

The tool displays the results of the export (creation) of the report.
Two possible results :

Successful export
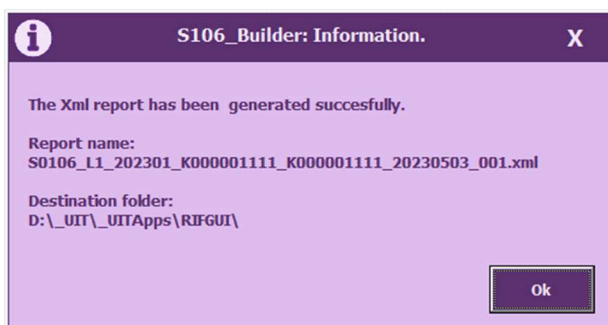
S106_Builder: Information.

The Xml report has been generated succesfully.

Report name:
S0106_L1_202301_K000001111_K000001111_20230503_001.xml

Destination folder:
D:_UIT_UITApps\RIFGUI\

Ok

Error at export

S106_Builder: error

There is an error while generatig the report, can you please :

Or this report has not been generated by UIT
  Ouput directory : D:\LockedDir
- Try another folder location
- contact U IT if the problem persists

Ok

Data Section

Tables - global view

Information and rules of section Data

- Place the cursor over the cells to display information and references.
- Select first an item, depending on its nature the list of accepted values for country, currency, sector and maturity will be adapted.
- Every captured reported amount should be in the currency defined at the header.

> **Warning** : for instance, if the report's main currency is USD, any line inserted for which the currency is not USD must have its amount converted into USD – in other words, any amount captured in the report will be USD or converted to USD if the Currency line is different.

- All lines must contain positive.

🗑 ASSETS							🗑 LIABILITIES					
Item	Country	Currency	Sector	Initial Maturity	Reported Amount	☑	Item	Country	Currency	Sector	Initial Maturity	Reported Amount

Item	The assets code. *Ex : 1-006000 = Non-Financial assets*
Country	The issuing country code. *In this report, always "XX"*
Currency	The currency of the reported amount. *In this report, always "XXX"* Because the amount must be converted into the currency of the report. (Currency value in Header).
Sector	*In this report, always "90000"*
Initial maturity	A seven characters code. *In this report, always "I999-999"*
Reported amount	The value corresponding to the amount of the item. The amount must be converted into the currency of the report. (Currency value in Header)

Encoding

Choose an item from those proposed in the list.
In this report, all other fields are automatically completed, except of course the reported amount.

Insert new lines

To add a new line simply go to the "Reported amount" column and press TAB.

Item Occurrences

Assets :
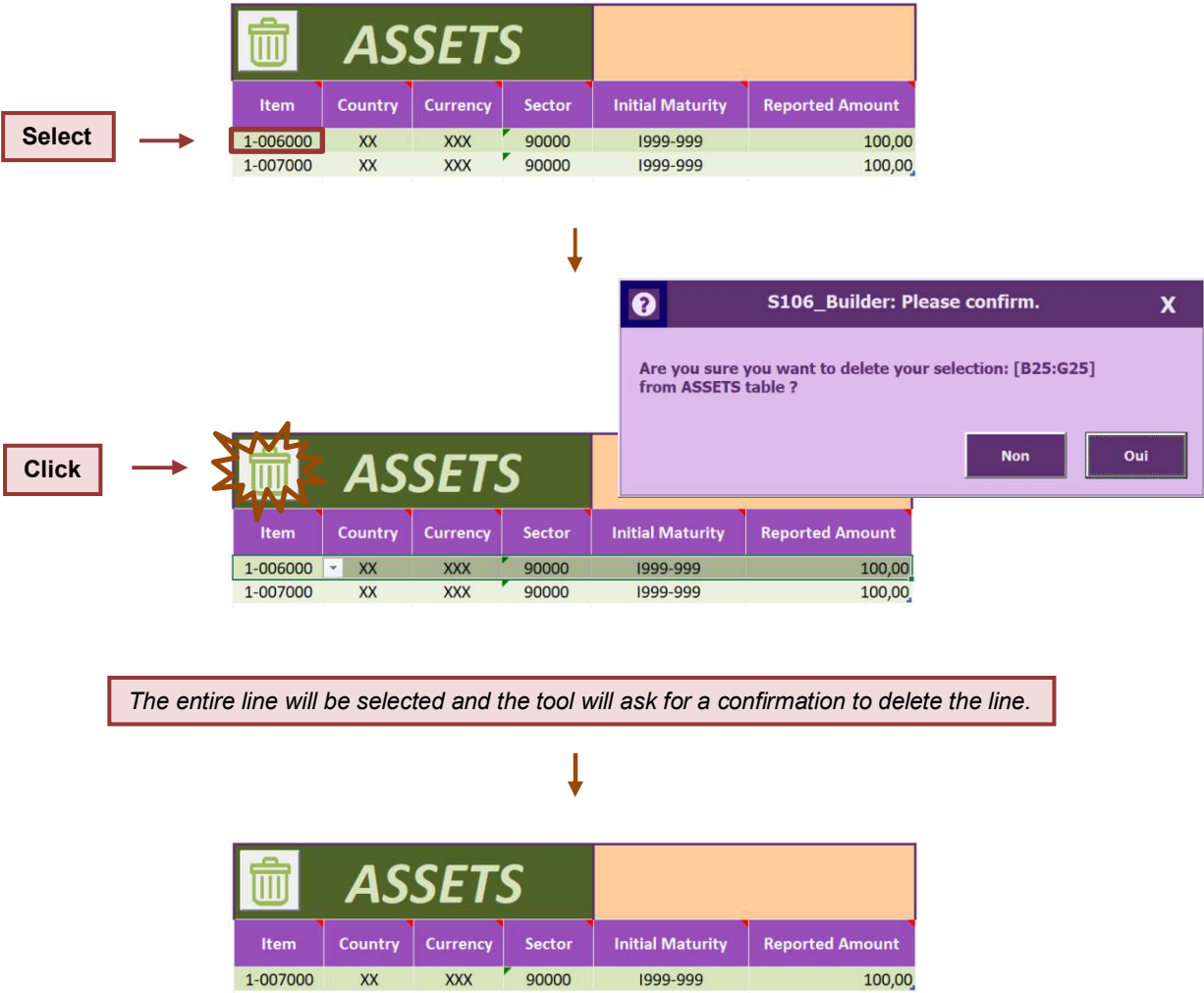- 1-006000 : Non-Financial assets
- 1-007000 : Financial derivatives

Liabilities
- 2-011000 : Financial derivatives

Delete one or more lines

 Use the DELETE / DUSTBIN buttons to delete one or more rows of a table.

Select →

Item	Country	Currency	Sector	Initial Maturity	Reported Amount
1-006000	XX	XXX	90000	I999-999	100,00
1-007000	XX	XXX	90000	I999-999	100,00

S106_Builder: Please confirm.   X

Are you sure you want to delete your selection: [B25:G25]
from ASSETS table ?

Non   Oui

Click →

ASSETS

Item	Country	Currency	Sector	Initial Maturity	Reported Amount
1-006000	XX	XXX	90000	I999-999	100,00
1-007000	XX	XXX	90000	I999-999	100,00

The entire line will be selected and the tool will ask for a confirmation to delete the line.

ASSETS

Item	Country	Currency	Sector	Initial Maturity	Reported Amount
1-007000	XX	XXX	90000	I999-999	100,00

Examples of selection + DELETE button

*If you click on the **left** dustbin button, **left** cells are selected and vice versa.*

Double clicking the DELETE button

If **no items are selected**, a double click on the delete button will select all the lines of the table and the tool will ask for a confirmation to delete :

Copy data from another source:

One table can be copy/paste from whether another excel sheet or a TAB-separated text file :

Bloc note / Notepad :
Separators **must** be tabs.

Select + CTRL + C

Select the top-left cell of one of the 2 tables

CTRL + V
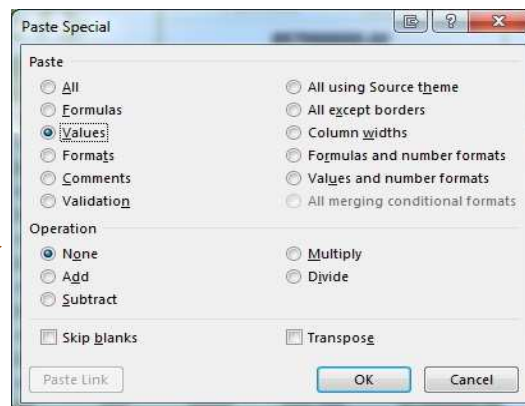
Excel : Right mouse button for paste values.

Excel & Windows options & Settings

Excel is packed with features and options which allow any IT administrator to customize its installation & configuration within the company. There are a couple of protections that can be set at the level of Excel but these settings can be furthermore controlled and imposed by extra security layers set by the IT administrators at the level of the company's network (Windows domain).

Allowing or not the macros of the tool may also depend where the tool is located (where is stored the excel file on your PC or network). Excel can recognize some trusted areas (in practice directories) where it will open a macro without problem or just a warning, and it may, for instance, prevent the macros to enable if it's located outside a trusted area/directory/location.

This means that it can be complex for simply impossible to solve a security problem if the tool refuses to open, enable the macros, be trusted, execute some code/functions or simply save the XML reports.

When using the tool for the first time, if you encounter a problem using it, first verify if the problem is not documented in the next pages, try to solve it if you are authorized to change your Excel settings. If unsuccessful, contact your IT. You can reference U IT and propose them to contact us if they are not able to solve the problem.

The following screenshots may change depending on your version of Excel – the next screens were taken from Excel 2019.

Access the Trust Center of Excel

Go in the Excel menu ➔ Excel Options
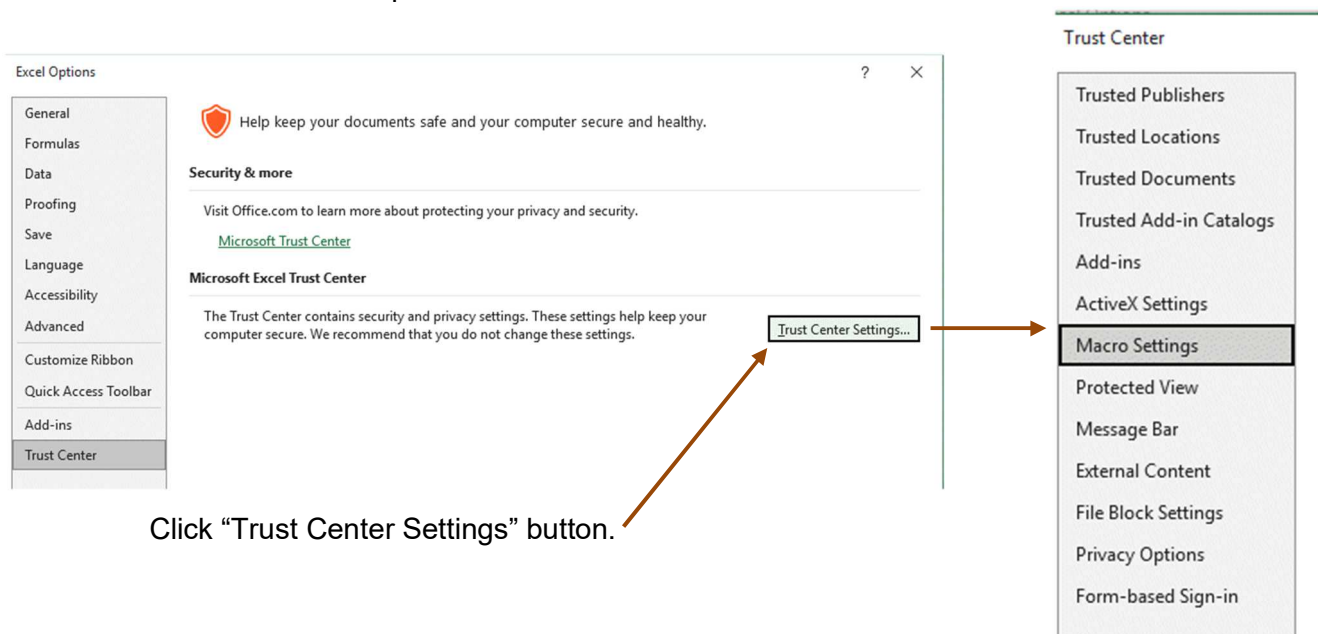
Click "Trust Center Settings" button.

- Accessing the Trust Center or some of its panel may be greyed for a normal user account. It may even not be possible to access the Trust Center. In this situation, please contact your IT.
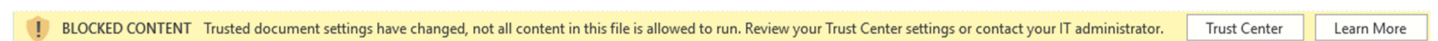
Trust Center ➜ Macros Settings

The macros can be whether fully disabled or enabled under 3 different scenarios. The following screen show the Excel Trust Center panel which allows to set the options :
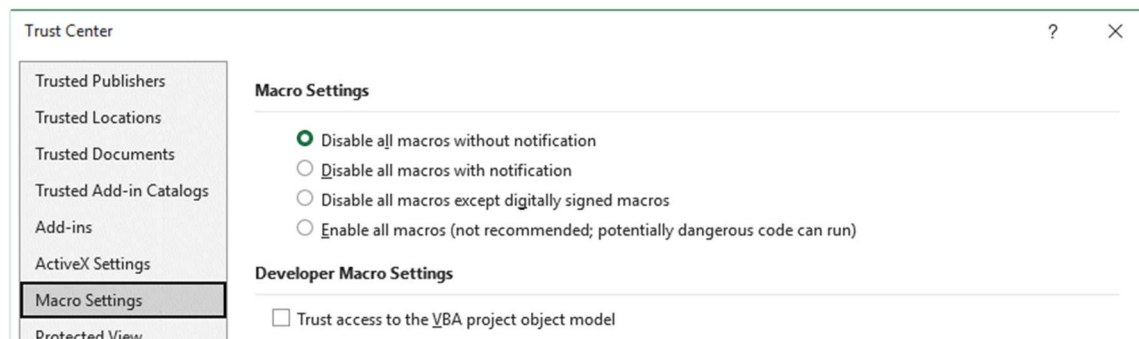

Disable all macros without notification

As per to the screen above, when the macros or disabled excel will (should) display the following message below the ribbon :

The problem can be solved by going in the Trust Center and chose one of the 3 other options. You may not be allowed to perform this change and have to ask the help of the IT.

Disable all macros with notification

This is the most common option set. Excel will display the following message below the ribbon. Click "Enable Content" to proceed.
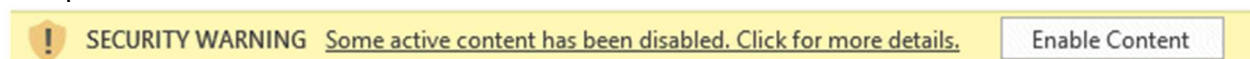
Depending on your Windows/domain settings, Excel will prompt this message each time you open the macros or only one time (one time per macros). If Excel displays this message each time the same macros is opened, it's possible to prevent this behavior but may require the intervention of the IT (see also *Trust Center ➜ Trusted Documents* on next page).

### Disable all macros except digitally signed macros

Rarely used, will only authorized macro with a digital signature.

Enable all macros

As specified by Excel, this option is not recommended as it's a common setting for all excel file that can be opened.

Trust Center ➔ Message bar

Linked to the macro's settings, another option in the Trust Center of excel may cause problem : the Message bar. By default, this option is enabled. But if disabled, the macros will open without any warning message from Excel but the tool will not work (for instance buttons can't be pressed).
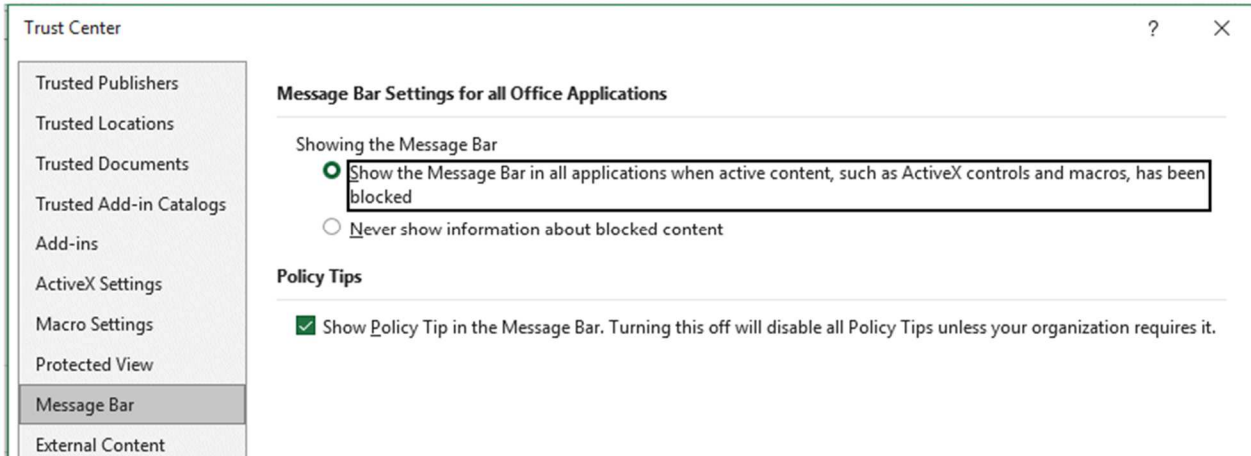
Ensure that this option is well set as per to the screen above.

Trust Center ➔ Trusted Documents

Another option in the Trust Center may be used and activated : allowing users to specify when a document can be trusted, removing the need to enable the macro at each opening.
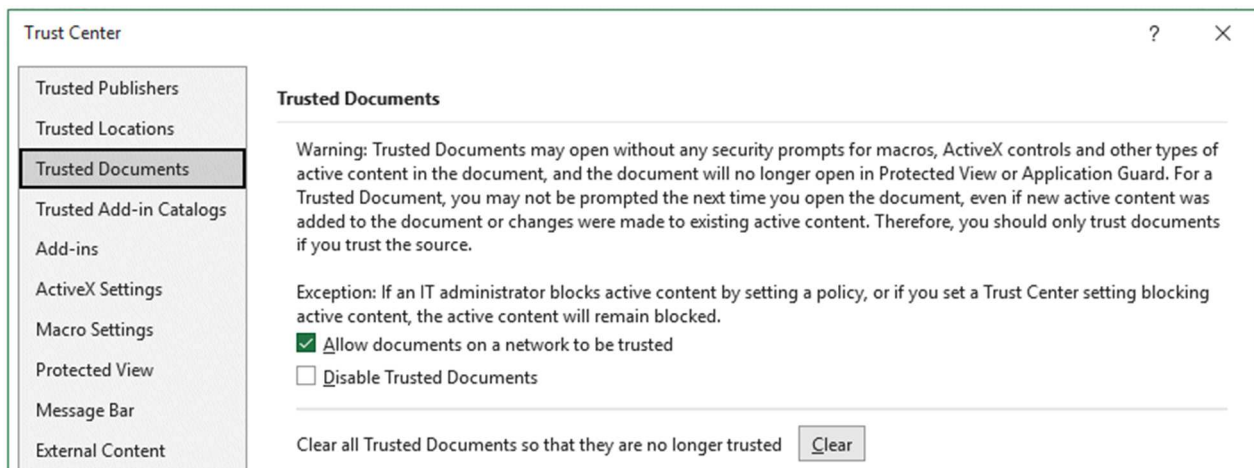
When enabled, each time a new macro is opened, Excel will display the following message, if click "Yes" Excel will not ask again the next time the same file is opened.


- Extra security settings may overwrite this option.
- If the macro is copied then opened, this will trigger the same question (once per file or copy of the tool).

Standard Windows protection - unlocking a file

This problem may or may not be present depending on your security settings.
Any downloaded file may have been blocked and needs to be unlocked in order to be used (opened).
It is also possible that your security does not allow you to unlock such a file and that the operation must be performed by an IT person.

The easiest way to check if a file is blocked is to right-click on the file, bring up the context menu and select "Properties". Here is an example of the window this will display if a macro is locked and how to unlock it :

1. Select "Unblock"

2. Click on "OK"
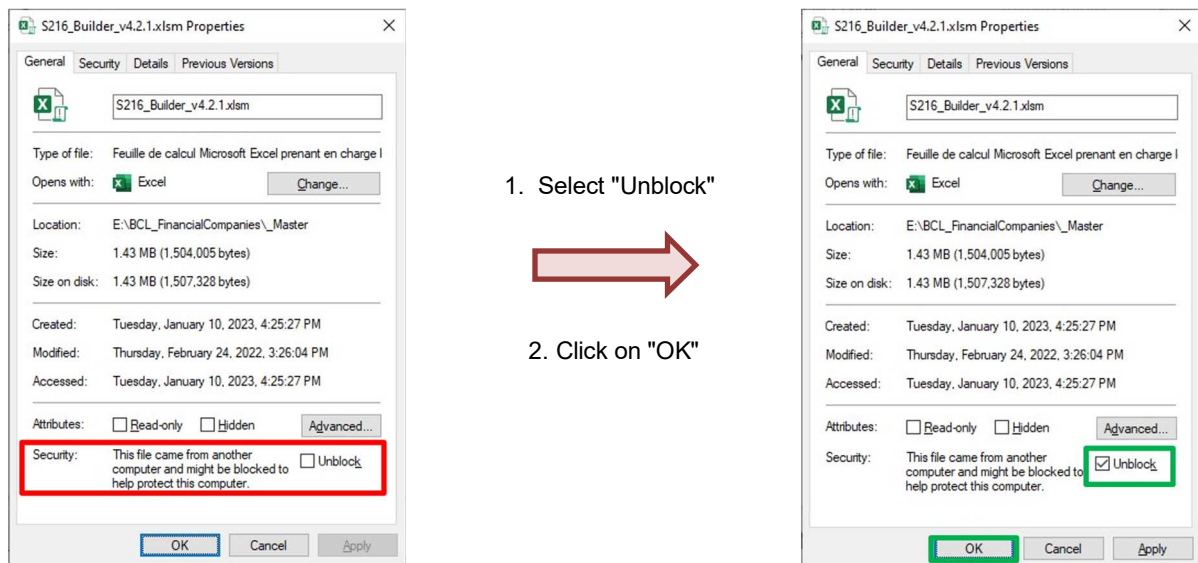
The blocking is often applied at the ZIP level. You can unblock the ZIP first and then extract the tools, these will be unblocked. An article detailing the problem can be found at the following link :
https://www.elevenforum.com/t/unblock-file-downloaded-from-internet-in-windows-11.1125/

Quick tips

Preparation

When you receive the tools (first time or during the yearly renewal), we advise to follow these steps :

- Unzip the tools in a backup directory and copy the ZIP file with it.
- Write down the password to open the ZIP.
- Make another copy of tools and place them in a directory named "_Master".
- Open each tools that will be used and set all the desired options and parameters.
- Eventually, perform a further back of these configured macros.
- Copy the tools used as many times as the number of declarer entities, each having its own folder.
- Start using them.

Filling

- Press TAB button of the last cell (column <u>Reported Amount</u>) of the last line of one of the two tables to create and jump to a new line.
- All the values that you will need to add to the Assets/Liabilities tables are included in the drop lists of each line. Click on the cells to display these lists.
- This is useful to disable the system's thousands/decimals separators, it may bring conversion problems. Go in Excel's options => Advanced=> Editing options => unclick the system's separators check box.
- In order to delete a whole line, click the delete button with the trash icon. For simply deleting a cell's value use the keyboard's delete button.

Various

- You can disable the automatic excel help (cell's comments) in the option once you do not need anymore this extra help.
- Always set and verify the Headers data before updating any report, ensure to capture the data for the right entity and the right reporting period.