

SOFiE ToolBox Preparer is a complementary tool for SOFiE Sort developed by U IT for the users or managers in charge of the legal reporting. The tool's main functionality is to create a CSSF procedure from a legal report. It was initially developed for MiFIR (TAFREP reports) early 2018 and was extended the next year for Central Securities Depositories (CSDREP) and ManCo reporting (DOCREP). The main reason and interest of the tool is to maintain a 100% automated workflow for the SOFiE Sort customers in BATCH mode. In 2020, we added the "Picker" feature which allows multiple SOFiE "to\_crypt" folders.

## Key aspects & features (v 2.0)

### Technical details

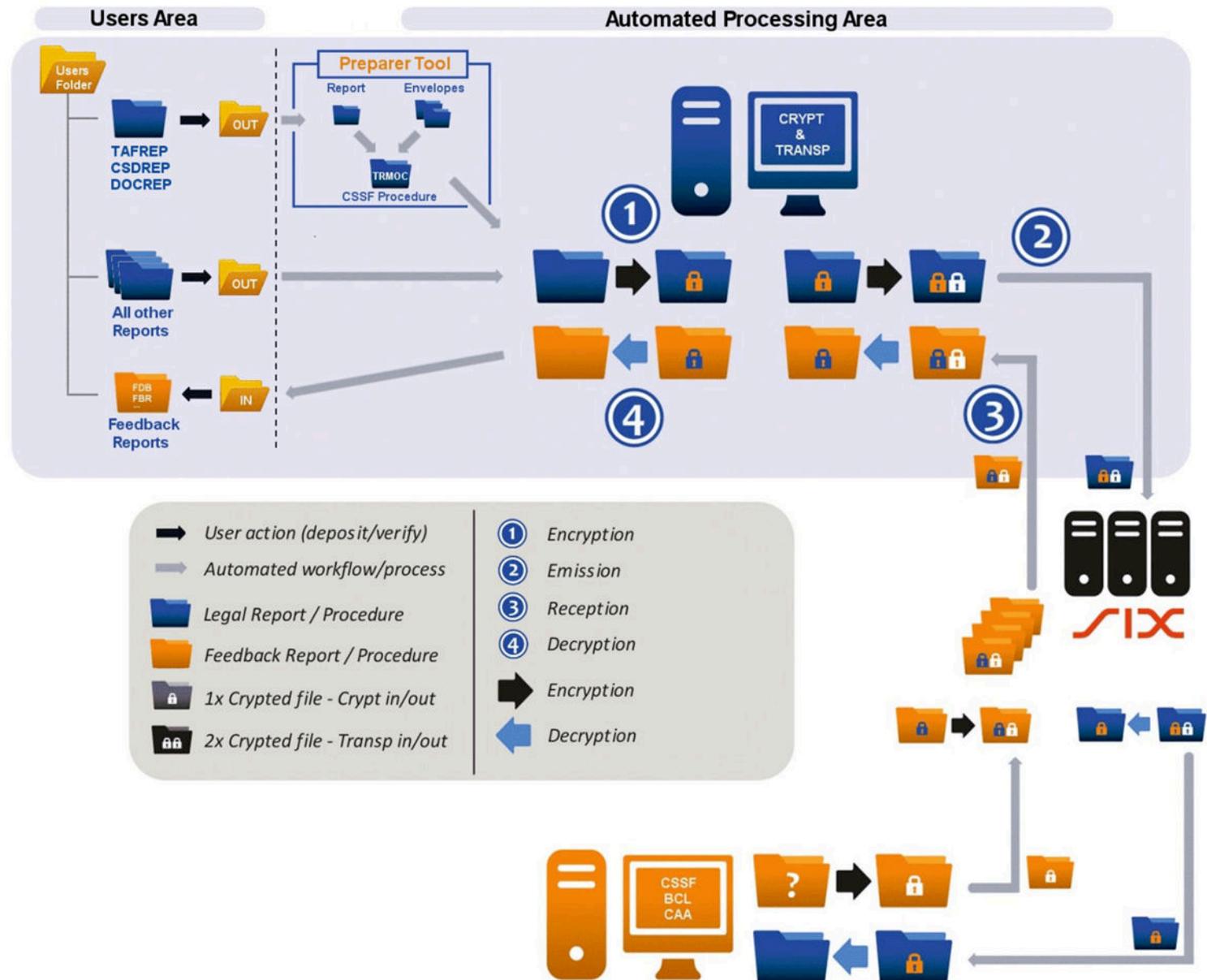
- Portable application
- UNC authorized
- Can be launched in BAT or GUI mode
- Compatible on all Windows systems
- Multi-users, multi-envelopes profiles
- 100% offline & standalone
- Configurable input, output, error folders
- Drag & drop files in manual mode
- Can be launched from a scheduler
- Can be launched by another application
- Debug log classified by month
- Clear activity log
- Backup & classified historic

### Controls & features

- Verification of all dependencies at launch
- Verify the right naming of the original reports
- Update custom envelop XML fields automatically
- Generate a valid TRMOC procedure file
- Launch manual mode by 2x clicking
- Configure manual mode to create TRMOC in 1 click
- Manual mode allows to :
  - Select a report to generate a procedure
  - Edit the 2 envelopes user information fields
  - Modify batch settings & options
- Automatic email on success and/or error
- Allow multiple outgoing folders for SOFiE

# Detailed chart and changes for users

1. Users will deposit the TAF/CSD/DOC reports in a dedicated directory
  2. Other reports will be deposited in the usual OUT directory.
  3. Preparer scans the folder, creates a CSSF procedure (TRMOC file) and deposit it in whether in the usual directory or directly in the SOFiE crypt input directory
  4. Preparer sends an email in case of failure.
- Read FAQ for more precisions



The following list is not complete and can contain features that will never be implemented. The decision to implement new functionalities will be fully based on the feedbacks of our customers. The tool will be updated in the future to include any new type of procedures set by the CSSF or any other regulator.

# Future releases (v 2.0+)

## New or enhanced functions, new options

### Add new CSSF procedures creation (BAT/GUI)

\* for some future procedures, a fully automated mode may not be possible, but U IT will do it if it's possible

### XML validation, XSD control (BAT / GUI)

### Add custom options for logs (BAT / GUI)

### Generate an activity report in PDF for presentation or audit, custom dates (GUI)

### Auto-generate an activity report in PDF, weekly or monthly (BAT)

### Added 2019 : Picker module – Allow to configure multiple input folders for SOFiE

## Pricing

The cost is a fixed yearly license cost for the use of the tool, the support and future updates  
Initial cost is EUR 200 + from EUR 50 to EUR 200 by type of procedure handled (based on yearly volume estimation)

\* TAFREP/MiFIR procedure is priced EUR 200

\* costs for supplementary procedures are variable depending on their yearly volume

Setup costs for BATCH customers are estimated to 2 hours, a budget of +/- EUR 350

# FAQ

## Can we still deposit all reports in the same and unique directory ?

It's possible to configure this way, and configure SOFiE to ignore a TAF report if not packed in a valid procedure file (in case of SOFiE executing before the Preparer). But applying this configuration renders it more complex to understand, and will not allow to benefit the use of the multiple envelopes profiles, allowing the customer to send different contact detail information (ie: if multiple users have to send the reports)

## How does the multiple-envelopes profiles feature works and what is its purpose ?

This option is mainly for customers who have multiple users taking care of these reports and who wish to set the contact details in the envelopes to the exact user who manage the sending operation.

Each user will have his own personal output directory where to deposit the TAF reports. The Preparer will scan all the different users' directories and will select the right envelope depending on the directory where it fetched the report.

This feature allows to benefit of a form of audit while maintaining a 100% automated solution.

## How will the users handle the feedbacks received which will also be procedures (TRMID files)

These TRMID files are zip files that will have to be opened manually by the users prior verifying their content.

U IT developed some tools to respond to this daily task and they'll be updated accordingly as the following :

Keeper tool will scan all TRMID, search for UUID and reconcile with the original procedure/report sent.

Reporter tool : will create daily "reconciled" reports including the ones sent under procedure.

Dispatcher tool : will classify the TRMID files and deposit them in the configured directory.

Informer & Digger tools : will allow users to interactively open and view the content of the TRMIC files

More information on the SOFiE ToolBox (STB) tools at the following page : [http://www.uit.lu/pr\\_STB\\_en.php](http://www.uit.lu/pr_STB_en.php)

## What does mean the feature "Configure manual mode to create TRMOC in 1 click" ?

It's using the automated feature of the Preparer "on-demand". In practice, configure the settings for the BATCH mode (mainly input and output folders, eventually the envelope profile) then create a new shortcut of the Preparer on your desktop + modify the command line to execute it in this specific mode. This will allow GUI users to rapidly create the procedure (TRMOC) file and spend the less time on this action.

## **Can we use multiple copies and installations of the Preparer with the license ?**

Yes. For instance, you can install the Preparer on the SOFiE server to perform the automated task + 3 copies for the 3 users in charge of these TAF reports in case they would need to verify or monitor the creation of the procedure (TRMOC) files.

## **We report for 2 declarers : will the tool work and what about the license and price ?**

The tool will continue to work but will require to have 2 separated instances of the tool, each one configured with its own directories and envelopes (or envelope profiles)

The license is by declarer, so the price will be doubled. If you report for many declarers, please contact us.

## **How does email warning works ?**

The tool requires to communicate with an smtp server and email settings need to be entered.

Users can choose in the configuration windows to activate / deactivate this function, or change it. Once activated, 3 options are possible : send an email on success (of the creation of a procedure), on error or in both cases. Email can be configured to be sent to multiple email addresses.

## **What is the use of the new “Picker” module ?**

In BATCH mode, SOFiE allows to configure one input (or outgoing) directory, in which users or automated processes deposit the reports to be sent. The Picker allows to configure multiple directories which can be interesting when multiple users or department are using SOFiE. As SOFiE executes each X minutes, a report usually waits a few minutes in the outgoing folder. As some reports are sensitive, even internally, using the Picker allows more flexibility in user's rights configuration. Picker is at a fixed cost of EUR 200.