



TECHNICAL REQUIREMENTS FOR SENDING THE A01 STATEMENT OF STATISTICAL DATA FOR FOREIGN CIS MARKETED IN SPAIN (Circular 2/2011 of the National Securities Market Commission, amended by Circular 2/2017, of 25 October).

Table of contents

1. Submission of the information	03
2. Technical procedure and definition of the file to be sent (.xml)	04
3. Validation of the information received	05
3.1. Overall validation	05
3.2. Validation of format and data field	06

1. SUBMISSION OF THE INFORMATION

1. Entities marketing foreign CIS within the scope of application of Circular 2/2017, of 25 October, of the National Securities Market Commission (CNMV), amending Circular 2/2011, of 9 June, of the CNMV, on information on foreign collective investment schemes (CIS) registered with the CNMV, must submit to the CNMV the statistical information set out in Section 2 of Rule 5.
2. This information must be sent through the CIFRADO/CNMV Service of the CNMV's Virtual Office, approved by CNMV Board Resolution of 15 September, 2006. In order to encrypt and digitally sign the information to be sent, the technical procedure set out in Section 2 should be followed.
3. The information must be submitted by all entities that market foreign CIS. If the distributor has delegated the submission of this information to an appointed person (Section 3 of Rule 5), the latter will be responsible for sending the information. Statements from CIS may not be submitted by entities other than the aforementioned.
4. The information submitted must be signed by the person empowered to do so by either the distributor or the delegated entity.
5. The entities referred to in the foregoing points 3 and 4 will be those registered as such with the CNMV on the last day of the period to which the submitted information refers.
6. The information must be submitted within two months from the last calendar day of the quarter to which the information refers.
7. If it is necessary to make modifications to the A01 statement, the statements corresponding to all the CIS marketed by the entity must be re-sent. In other words, the original .xml file must be sent again modifying only the data that must be changed .

2. TECHNICAL PROCEDURE AND DEFINITION OF THE FILE TO BE SENT (.XML)

The steps required to send the information to the CNMV are set out below:

1. Prepare an .xml file according to the following schema (important: the CNMV will not provide an application or template to use to prepare the file):

- [.xml file schema](#)

In order to download the file to the hard drive, right click on the mouse and select "Save target as...".

2. Sign and send this .xml file via the Virtual Office / Online Register on CNMV's website at <http://www.cnmv.es>.

If the data is sent correctly, the sender will receive an acknowledgement of receipt message.

3. **Verify on the aforementioned website the acknowledgement of receipt** using the appropriate option. The acknowledgement of receipt will indicate the **number, date and time** of the file assigned in the entry register.

If within one day the acknowledgement of receipt has not been received, the entity should contact the CNMV's virtual office.

If the file does not meet the specified requirements, instead of an acknowledgement of receipt, the entity will receive a detailed message with the reasons detected for the non-compliant file.

Depending on the content of the message, the entity should check all the steps carried out, make any necessary corrections, and re-send the information.

4. Once the acknowledgement of receipt has been sent, the information contained in the electronic file will be subjected to an initial review by the CNMV in order to determine whether the information is compliant with all formal requirements. This initial review will be made in accordance with the provisions of Point 3 "Validation of the information received".

Once the processes described in the previous paragraph have been applied, the CNMV will send an email to the signatory of the file, informing them of the result of those processes. This email will contain the register entry number assigned to the file and will confirm receipt of the information provided that no incidences were detected. If incidences were detected, the signatory will be notified that the file is not compliant, indicating and describing any controls, cross-checks or filters that may have led to that result.

Submitted information receiving a validation message will be incorporated into CNMV files for supervisory purposes. The entity must correct and re-send any

information that is not compliant so that it meets all the aforementioned requirements.

3. VALIDATION OF THE INFORMATION RECEIVED

The information contained in the electronic file will be subject to a number of validations in order to verify that it meets all requirements:

3.1. OVERALL VALIDATION

The information sent must be complete; i.e. it must contain the Ao1 statement corresponding to the reference period for all the CIS for which the marketing entity is registered with the CNMV.

If, in the course of the quarter, the distributor has not marketed any CIS for which it is registered with the CNMV, it must send statistical statement Ao1 with a zero entered in the following fields:

NUMBER OF UNIT-HOLDERS/ SHAREHOLDERS	Incoming (26)	
	Outgoing (27)	
AMOUNT MARKETED	Subscriptions	Total (32)
		From other marketing entities (33)
	Redemptions	Total (34)
		To other marketing entities (35)

Also, in this case, for CIS that have not been marketed in the quarter, the amounts reflected in the following fields should coincide with those reported in the previous quarter:

NUMBER OF UNIT-HOLDERS / SHAREHOLDERS	Final quarter	Total (28)	
		Natural persons (29)	
		Legal persons	Total (30)
			Other marketing entities (31)

If a distributor has not started to market one or more of the CIS for which they are registered, fields from (19) to (24) may be coded zero but fields (25) to (40) have to be coded zero.

3.2. VALIDATION OF FORMAT AND DATA FIELDS

When there is no information to enter in a field it should be left blank, unless it is numeric. If the field is numeric, a zero will be entered, except for the field (46) which if there is nothing to enter in it should be left blank. No statement will be accepted if a code fails to meet the above specifications.

All the statement codes are numerical fields with the exception of:

CIS Type (1)				
CIS	Name (3)			
	LEI (4)			
	Country (5)			
Compartment	Name (6)			
	LEI (7)			
	Category (8)			
Management company	Name (9)			
	LEI (10)			
	Country (11)			
Depository	Name (12)			
	LEI (14)			
	Country (15)			
ISIN (16)				
OTHER QUALITATIVE DATA	ETF (41)			
	SELF-MANAGED (42)			
	FUND OF FUNDS (43)			
	SUBORDINATED	SUBORDINATED (44)		
		PRINCIPAL CIS	CIS TYPE (45)	
			LEI (47)	
			Country (48)	
	Category (49)			

The data corresponding to net asset value (fields (17) and (18)), commissions (fields (19), (20), (21), (22), (23) and (24)), marketed amount (fields (32), (33), (34) and (35)) and investment volume (fields (36), (37), (38) and (40)) will be presented in euros to two decimal places.

The data corresponding to unit-holders/shareholders (fields (25), (26), (27), (28), (29), (30) and (31)), CIS Registry No. (field (2)), and CIS No. of the principal CIS if the latter is either a Spanish or foreign CIS marketed in Spain (field (46)), will be numeric without decimals.

Specificities of “Other qualitative data” (fields (41) to (49)):

- Fields (41), (42), (43) and (44): the only possible values are “S” or “N”
- In the event that field (44) is “S”
 - Fields (47), (48) and (49) must always be filled in.
 - Fields (45) and (46) will only be completed if the principal CIS is Spanish or foreign and marketed in Spain.

For each FONDO/SICAV o FIA, in its last record, the ISIN field will be coded ZZZZZZZZZZZZ (i.e. a Z in each of the twelve positions) and will reflect the sum per column of the amounts reflected in columns (25) to (40).

The validations corresponding to each statement described in the validations must be made. [\(link\)](#)