

User Manual for the Transmission and Deposit System (‘TDS’)

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1. Introduction

This user manual describes the use of the Transmission and Deposit System ("TDS") offered through the Online Notification Office. Further information concerning function and terms of use can be found in the Terms of Use for Investment Companies ('ToU') document. A legal description for the transmission and deposit of Fund Documents is given in the Transmission and Deposit Decree ('TD-D') of the Austrian Financial Markets Authority ('FMA').

Using the TDS you can deposit Fund Documents at the Notification Office and view all transmitted documents of the Management Companies you are entitled to deposit. The public Prospectus and KIID-Website of the TDS provides an overview of all current Prospectus/-changes and KIIDs/Simplified Prospectuses, as well as those transmitted from within the last 365 days. They are freely downloadable, if the feature 'Provision-Website' was selected or ordered by the Management Company. The current other documents under the InvFA and the sec 21 para 1 AIFMG-information as well as those transmitted from within the last 365 days are only being displayed and provided to download when the Management Company ordered this service (known as 'Provision on the Prospectus and KIID-Website').

TDS of the Notification Office can be found here:

- Production-System: Via the central OeKB Login Portal <https://login.oekb.at> or directly at <https://meldestelle-online.oekb.at>
- Test-System: Via the central OeKB Login Portal <https://login.oekb.at> or directly at <https://meldestelle-online-test.oekb.at>

2. User Administration

For registration and user administration we refer to the Terms of Use for Investment Companies and the registration form. They can be downloaded from the website of the Online Notification Office at <https://meldestelle-online.oekb.at>.

An already existing login to the OeKB Login Portal can also be used for all other services offered by the OeKB Login Portal. Please register for the required service.

3. System Description

This chapter gives you a detailed description of the functions of the TDS which are offered as a component of the Online Notification Office.

The first part describes publicly available functions which do not require a login. The second part describes the view of the transmitter of Fund Documents with login required.

3.1 Public View

The following pages are available to the public at <https://meldestelle-online.oekb.at> (Test-System: <https://meldestelle-online-test.oekb.at>). No login is required.

3.1.1 Home Page

On the home page you can download all documents for the TDS and login for transmitting Fund Documents.

3.1.2 Prospectus and KIID-Website

The public Prospectus and KIID-Website of the TDS provides an overview of all current Prospectus/-changes and KIIDs/Simplified Prospectuses, as well as those transmitted from within the last 365 days. They are freely downloadable, if the feature 'Provision-Website' was selected or ordered by the Management Company. The current other documents under the InvFA and the sec 21 para 1 AIFMG-information as well as those transmitted from within the last 365 days are only being displayed and provided to download when the Management Company ordered this service (known as 'Provision on the Prospectus and KIID-Website').

Please search for the fund using the ISIN, name of the fund (or a part of it) and/or the Management Company. The documents are shown after clicking the top-down arrow in the line of the desired fund in result table. Download a document by clicking the PDF-icon.

3.2 View for transmitters of Fund Documents (after login)

3.2.1 Home Page

Use the Fund Documents Guide which assists you with all functions of the TDS or directly use the flags *TDS* and *Prospectus and KIID-Website*.

3.2.2 Prospectus and KIID-Website

This page equals the public view of the current Fund Documents (see 3.1.2)

3.2.3 TDS

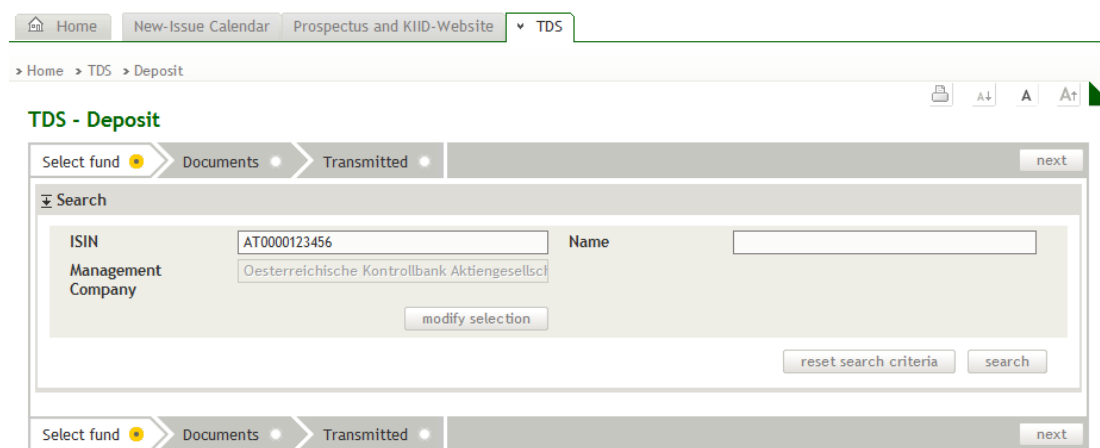
View all (historical) documents of the Management Company you are entitled to transmit Fund Documents, edit their keywords or transmit and deposit new Fund Documents for these Management Companies.

Pursuant to the Transmission and Deposit Decree the documents have to be transmitted and deposited in PDF/A-format (Portable Document Format/A (ISO 19005)).

3.2.3.1 Single Transmission

Within this menu item you deposit one or more new Fund Documents (with or without metadata) for a single fund.

For detailed information to metadata see the download *TDS PDF-Metadata-Specifications* on the home page.



Please follow these steps:

1. Search for the desired fund of the Management Company for which you are entitled to transmit and deposit (change the Management Company with *modify selection*). Narrow the search result by using the name of the fund (or a part of it) and/or the ISIN.
2. Mark the fund for which you want to deposit Fund Documents by clicking the radio-button in the first column.

Click the *magnifier* for fund details. A popup opens with the fund master data (Management Company, name, internal fund number and ISINs with their details), its history and all hitherto electronically deposited Fund Documents with their categorisation. Contact meldestelle@oekb.at for a modification of the fund master data.

In case the desired fund cannot be found and there is no search result the button *create fund* appears. Click it and input the exact name of the fund and the ISINs. To save a new fund at least one document has to be transmitted. Afterwards this fund can also be used for bulk transmissions.

3. Click *next* for the step *Documents*.

Filename	Type	ISINs KIID	Language	Status	Document date	Upload	
20131213 at0...	Prospectus/-change...		German	valid	2013-12-31	2013-12-13	✎
20131213 at0...	Prospectus/-change...		German	valid	2013-12-31	2013-12-13	✎

The list of *already transmitted files* shows all transmitted documents for the chosen fund.

The current and historical fund master data are shown under *fund*. For a modification of the fund master data please contact meldestelle@oekb.at.

4. To transmit a new document click browse and select the storage location of the file on your own computer. By clicking the button upload PDF-file with/without metadata a lightbox to categorise the document opens.

In case of files with metadata those are automatically used for categorisation – it is possible to modify the categorisation manually after the upload. In case of a file without metadata standard categorisation data are proposed which can be modified.

Please be aware that the documents have to be transmitted and deposited as PDF/A (Portable Document Format/A (ISO 19005)).

Available categorisations:

- a. Type:
Select the document type of the file (Prospectus/-changes, KIID/Simplified Prospectus, Semi-annual fund report, Annual fund report, Audit report, sec 21 para 1 AIFMG-information).
 - b. ISINs KIID (for document type KIID/Simplified Prospectus):
Check the ISINs relevant for the document.
 - c. Language:
Select the language of your Fund Document.
 - d. Translation:
Please select yes if the document is a translation.
 - e. Signature (for not translated Prospectus/-changes):
Prospectuses and their changes which have to be signed under the law may be transmitted by using a certified electronic signature pursuant to section 4 Electronic Signature Act or as a scanned copy, depending. Select scanned signature or certified electronic signature.
 - f. Provision-Website:
Select yes to make the document downloadable at the public Prospectus and KIID-Website. Otherwise only an indication is shown that Prospectus/-changes and KIIDs/Simplified Prospectuses are available on request. If the feature Provision of the prospectus and the Key Investor Information Document was ordered as a supplemental service pursuant to the Terms of Use for Investment Companies (Part B II. 1) the categorisation is already preselected and cannot be changed for Prospectuses, their changes and KIIDs. For further information we refer to the Disclaimer and the ToU.
 - g. Document date:
Select the document date of your file (e.g. creation date, version date...).
5. By clicking *apply* the document is prepared for transmission to the Notification Office.

For transmitting further documents for the fund selected (step 2) click *browse* again and follow again the steps 4-5 as described above.

To delete a file not yet transmitted to the Notification Office, click x in last column of the line containing the document you want to delete.

The screenshot displays the 'TDS - Deposit' interface. At the top, there is a navigation menu with 'Home', 'New-Issue Calendar', 'Prospectus and KIID-Website', and 'TDS'. Below this, a breadcrumb trail reads '> Home > TDS > Deposit'. The main content area is titled 'TDS - Deposit' and includes a toolbar with icons for print, refresh, and zoom. The interface is divided into several sections:

- Upload:** Features a search box and a 'Durchsuchen...' button, along with a link to 'upload PDF-file with/without metadata'.
- new files:** A table with columns: Type, Filename, Language, Status, Document date, Upload, and a delete icon. One row is visible: KIID / Simplified ... | AT0000MARIAS | 20131213 at0... | German | valid | 2013-12-25 | neu | [delete icon]
- fund:** A form with fields for Management Company (Allianz Invest Kapitalanlagegesellschaft mbH), Name (TestKUM1), Internal fund number, and ISINs (AT0000MARIAS, AT0000MARIIB).
- already transmitted files:** A table with columns: Filename, Type, ISINs KIID, Language, Status, Document date, Upload, and a delete icon. It lists four prospectus change documents from 2013-12-31 and 2013-12-30.

Already transmitted files cannot be deleted. In case you submitted a document whose content does not correspond to its published version (deviating or missing document publication), the document can be marked invalid by the Notification Office. In this case please send the Invalidation Request to meldestelle@oekb.at (download *Invalidation Request TDS*).

Use the same procedure for

- documents whose contents do correspond to the published version but which do not meet the transmission requirements (e.g. missing signature, no PDF/A...) or
- identical documents which were erroneously uploaded several times.

To edit the categorisation of documents, select the respective *pencil icon*.

6. Click *transmit* to submit the new documents or edited categorisations to the TDS of the Notification Office.

On the page Transmitted you can print a deposit confirmation or have it sent to your e-mail address. For editing the address please contact meldestelle@oekb.at.

3.2.3.2 Bulk Transmission

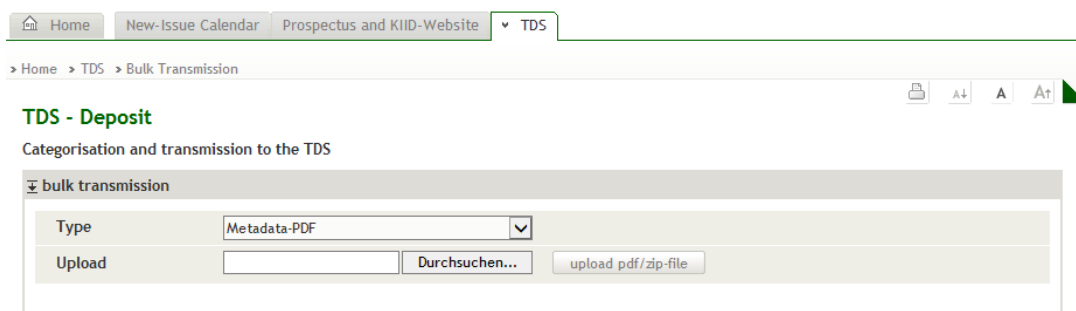
Within this menu item you deposit new Fund Documents (with or without metadata) for different funds via the TDS to the Notification Office.

Transmission of Documents with Metadata

For detailed information about metadata see *TDS PDF-Metadata-Specification* in the download area on the home page.

As a minimum requirement the metadata have to include the document type (Prospectus/-changes, KIID/Simplified Prospectus, Semi-annual fund report,...).

To upload multiple fund documents with metadata create a zip-file.



The screenshot shows the 'TDS - Deposit' interface. At the top, there are navigation tabs: Home, New-Issue Calendar, Prospectus and KIID-Website, and TDS. Below the tabs, a breadcrumb trail reads '> Home > TDS > Bulk Transmission'. The main heading is 'TDS - Deposit' with a sub-heading 'Categorisation and transmission to the TDS'. A section titled 'bulk transmission' contains a form with a 'Type' dropdown menu set to 'Metadata-PDF' and an 'Upload' section with a file input field, a 'Durchsuchen...' button, and an 'upload pdf/zip-file' button.

1. Select the type Metadata-PDF.
2. To upload a new document (pdf- or zip-file) click browse and select the storage location of the file on your own computer. By clicking the button upload *pdf/zip*-file the metadata are extracted and the files are listed in the box below, where categorisation can be added or changed.

Repeat the upload of documents with or without metadata before transmission to the TDS as often as necessary.

Please be aware that the documents have to be transmitted and deposited in PDF/A-format (Portable Document Format/A (ISO 19005)). Files not meeting the PDF/A-requirement are marked in column *Status* (PDF/A!).

Home | New-Issue Calendar | Prospectus and KIID-Website | TDS

> Home > TDS > Bulk Transmission

TDS - Deposit

Categorisation and transmission to the TDS

bulk transmission

Type: please select ...

Upload:

add further categorisation (status) or change it

KIID / Simplified prospectus

Filename	ISINs fund	Name	Language	Translation	ISINs KIID	Provision-Website	Docdate	Status
TESTKID al...			FI	no		yes	2013-11-01	

Transmission is only possible after complete categorisation (status).

In case the desired fund cannot be found in the system (*No fund for this ISIN found* or *The file contains at least one unknown ISIN*) you can create the fund: the functionality is part of Single Transmission procedure (see 3.2.3.1).

3. *Add further categorisation (Status) or change it.* Add incomplete categorisation (invalid metadata are ignored) or change it. Select the respective *pencil icon* to modify or complete the categorisation and confirm with *apply*. To delete a file before transmission click *x* in last column of the line from the respective file.

Available categorisations:

upload file

upload file

Search fund ISIN:

Name: TestKUM1

ISINs fund: AT0000MARI8, AT0000MARI5

Filename: 20131213_a10000MARI8_KIID.pdf

Type*: KIID / Simplified prospectus

ISINs KIID: AT0000MARI8 AT0000MARI5

Language*: German

Translation*: yes

Provision-Website*: yes

Document date*: 2013-12-17

* mandatory

*) By selecting the provision feature I declare that I have read and agree to the important notices in part A clause VIII of the Terms of Use for Investment Companies (Nutzungsgrundlagen für Kapitalanlagegesellschaften).

- a. Search Fund ISIN:
Enter one ISIN of the fund in question. The name and a full list of ISINs appear automatically. In case the desired fund cannot be found in the system (*No fund for this ISIN found* or *The file contains at least one unknown ISIN*.) you can create the fund. The functionality is part of the Single Transmission (see 3.2.3.1).
- b. Type:
Select the document type of the file (Prospectus/-changes, KIID/Simplified Prospectus, Semi-annual fund report, Annual fund report, Audit report, sec 21 para 1 AIFMG-information).
- c. ISINs KIID (for document type KIID/Simplified Prospectus):

Check the ISINs relevant for the document.

d. Language:

Select the language of your Fund Document.

Translation:

Please select yes if the selected document is a translation.

e. Signature (for not translated Prospectus/-changes):

Prospectuses and their changes which have to be signed under the law may be transmitted by using a certified electronic signature pursuant to section 4 Electronic Signature Act or as a scanned copy. Select scanned signature or certified electronic signature.


f. Provision-Website

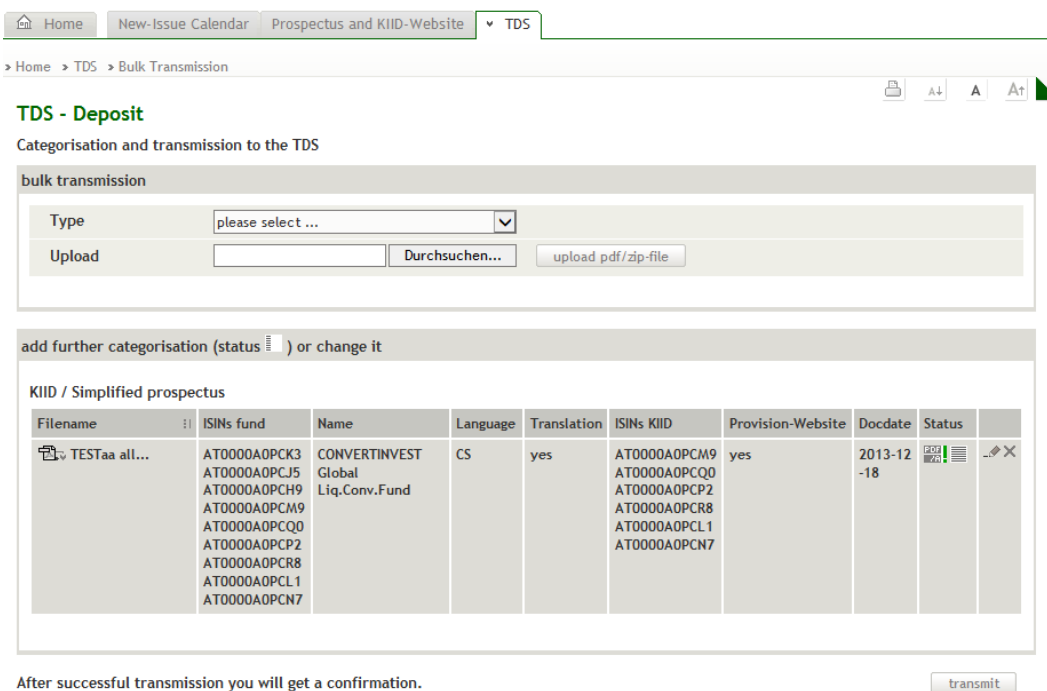
Select yes to make the document downloadable at the public Prospectus and KIID-Website.


Otherwise only an indication is shown that Prospectus/-changes and KIIDs/Simplified Prospectuses are available on request. If the feature Provision of the prospectus and the Key Investor Information Document was ordered as a supplemental service pursuant to the Terms of Use for Investment Companies (Part B II. 1) the categorisation is already preselected and cannot be changed for Prospectuses, their changes and KIIDs. For further information we refer to the Disclaimer and the ToU.



g. Document date:

Select the document date of your file (e.g. creation date, version date...).

4. As soon as the categorisation is complete (Status ) the button *transmit* appears and a transmission to the Notification Office is possible.



The screenshot shows the 'TDS - Deposit' interface. At the top, there are navigation tabs: Home, New-Issue Calendar, Prospectus and KIID-Website, and TDS. Below the tabs, the breadcrumb path is '> Home > TDS > Bulk Transmission'. The main heading is 'TDS - Deposit' with a sub-heading 'Categorisation and transmission to the TDS'. There is a 'bulk transmission' section with a 'Type' dropdown menu (currently showing 'please select ...') and an 'Upload' button with a file selection icon and a 'Durchsuchen...' button. Below this is a section 'add further categorisation (status ) or change it'. This section contains a table for 'KIID / Simplified prospectus' with columns: Filename, ISINs fund, Name, Language, Translation, ISINs KIID, Provision-Website, Docdate, Status, and an action column. The table contains one row with a file named 'TESTaa all...' and a list of ISINs. The 'Status' column shows a green icon with a checkmark, indicating completion. At the bottom, there is a 'transmit' button and a note: 'After successful transmission you will get a confirmation.'

Filename	ISINs fund	Name	Language	Translation	ISINs KIID	Provision-Website	Docdate	Status	
TESTaa all...	AT0000A0PCK3 AT0000A0PCJ5 AT0000A0PCH9 AT0000A0PCM9 AT0000A0PCQ0 AT0000A0PCP2 AT0000A0PCR8 AT0000A0PCL1 AT0000A0PCN7	CONVERTINVEST Global Liq.Conv.Fund	CS	yes	AT0000A0PCM9 AT0000A0PCQ0 AT0000A0PCP2 AT0000A0PCR8 AT0000A0PCL1 AT0000A0PCN7	yes	2013-12-18		

5. A deposit confirmation is provided after successful transmission. You can print it or have it sent to your e-mail address. For editing the address please contact meldestelle@oekb.at.

Home New-Issue Calendar Prospectus and KIID-Website TDS

> Home > TDS > Bulk Transmission

TDS - Deposit

Your Fund Documents were successfully deposited at the Notification Office.

For a confirmation select:

[download pdf-confirmation](#) [request e-mail confirmation](#)

What do you want to do?

- > Transmit Fund Documents (with/without metadata) for one fund (single transmission)
- > Transmit Fund Documents (with/without metadata) for more funds at the same time (bulk transmission)
- > View/Edit Fund Documents

Transmission of Documents without Metadata

For transmitting documents without metadata or you wish that metadata should not be considered, please follow the steps:

1. Select the document type (Prospectus/-changes, KIID/Simplified Prospectus, Semi-annual fund report, Annual fund report, Audit report).
2. To upload a new document (pdf-file or zip-file with documents of the same document type) click browse and select the storage location of the file on your own computer. By clicking the button *upload pdf/zip—file* the document(s) is/are prepared for categorisation in the box *Uploaded files without metadata for further categorisation* (delete files, if necessary, by clicking the respective x). You can repeat uploading files up to 30 megabyte before categorisation (Hint: Pool files with overlapping categorisation, and define in the next step categorisations valid for file uploaded before).

Please be aware that the documents have to be transmitted and deposited in PDF/A-format (Portable Document Format/A (ISO 19005)). *No PDF/A* appears in the column *Notice*, if the format requirement is not fulfilled.

Home New-Issue Calendar Prospectus and KIID-Website TDS

> Home > TDS > Bulk Transmission

TDS - Deposit

Categorisation and transmission to the TDS

bulk transmission

Type: Prospectus/-changes

Upload: [Durchsuchen...](#) [upload pdf/zip-file](#)

Uploaded files without metadata for further categorisation (0.47 / 30 MB):

Filename	Notice
v_4424659_t201208054.pdf	no PDF/A X

Use the following categorisation for the files above:


Search Fund ISIN	<input type="text"/>	Name	<input type="text"/>
Translation	no	Signature	scanned signature
Provision-Website	yes	Docdate	2013-12-18
Doclanguage	German		

[use for further categorisation](#)

3. Categorisation data in the box *Use the following categorisation for the files above*, are used to categorise all files prepared in the box *Uploaded files without metadata for further categorisation*. Click the button *use for further categorisation* to save the categorisation. The files will be transferred to the box *add further categorisation or change it*.

Available categorisations:

- a. Search Fund ISIN:
Enter one ISIN of the fund in question. The name appears automatically. In case the desired fund cannot be found in the system (Error *No fund for this ISIN found* or *The file contains at least one unknown ISIN*.) you can create the fund. The functionality is part of the Single Transmission (see 3.2.3.1).
- b. Type:
Select the document type of the file (Prospectus/-changes, KIID/Simplified Prospectus, Semi-annual fund report, Annual fund report, Audit report, sec 21 para 1 AIFMG-information).
- c. ISINs KIID (for document type KIID/Simplified Prospectus):
Check the ISINs relevant for the document.
- d. Language:
Select the language of your Fund Document.
- e. Translation:
Please select yes if the selected document is a translation.
- f. Signature (for not translated Prospectus/-changes):
Prospectuses and their changes which have to be signed under the law may be transmitted by using a certified electronic signature pursuant to section 4 Electronic Signature Act or as a scanned copy, depending on how the signature was produced. Select scanned signature or certified electronic signature.
- g. Provision-Website.
Select yes to make the document downloadable at the public Prospectus and KIID-Website. Otherwise only an indication is shown that Prospectus/-changes and KIIDs/Simplified Prospectuses are available on request. If the feature *Provision of the prospectus and the Key Investor Information Document* was ordered as a supplemental service pursuant to the Terms of Use for Investment Companies (Part B II. 1) this categorisation will be ignored and saved with yes. For further information we refer to the Disclaimer and the ToU.
- h. Document date:
Select the document date of your file (e.g. creation date, version date...).

4. In the box *add further categorisation* (Status ) or *change it* add categorisations or change them. Therefore select the respective *pencil icon*, modify the categorisation and confirm with *apply* (Notice: To categorise a fund enter one ISIN into *Search Fund ISIN*. The name of the fund and its ISINs appear automatically). To delete a file before transmission click on the x in last column of the line from the respective file.

In case the desired fund cannot be found in the system (*No fund for this ISIN found* or *The file contains at least one unknown ISIN*.) you can create the fund. The functionality is part of the Single Transmission (see 3.2.3.1).

Home New-Issue Calendar Prospectus and KIID-Website TDS


> Home > TDS > Bulk Transmission

TDS - Deposit
Categorisation and transmission to the TDS




bulk transmission

Type: please select ...

Upload:

add further categorisation (status ) or change it

KIID / Simplified prospectus

Filename	ISINs fund	Name	Language	Translation	ISINs KIID	Provision-Website	Docdate	Status	
TESTaa all...	AT0000A0PCK3 AT0000A0PCJ5 AT0000A0PCH9 AT0000A0PCM9 AT0000A0PCQ0 AT0000A0PCP2 AT0000A0PCR8 AT0000A0PCL1 AT0000A0PCN7	CONVERTINVEST Global Liq.Conv.Fund	CS	yes	AT0000A0PCM9 AT0000A0PCQ0 AT0000A0PCP2 AT0000A0PCR8 AT0000A0PCL1 AT0000A0PCN7	yes	2013-12-18		 

After successful transmission you will get a confirmation.

You can repeat steps 1-3 before transmitting the files to the TDS and upload further files with or without metadata.

- As soon as the categorisation is complete (Status ) the button *transmit* appears and a transmission to the Notification Office is possible.
- A deposit confirmation is provided after successful transmission. You can print it or have it sent to your e-mail address. For editing the address please contact meldestelle@oekb.at.

Home New-Issue Calendar Prospectus and KIID-Website TDS

> Home > TDS > Bulk Transmission

TDS - Deposit

Your Fund Documents were successfully deposited at the Notification Office.

For a confirmation select:

What do you want to do?

- > Transmit Fund Documents (with/without metadata) for one fund (single transmission)
- > Transmit Fund Documents (with/without metadata) for more funds at the same time (bulk transmission)
- > View/Edit Fund Documents

3.2.3.3 View/Edit

Within this menu view an edit all Fund Documents and master data for all funds of the Management Companies you are authorised.

Narrow the search by using the name (or a part of it), the ISIN or the Management Company and click the button search.

1. Click the *magnifier* for fund details. A popup with the fund master data (Management Company, name, internal fund number and ISINs with their details) and their history and all electronic deposited Fund Documents with their categorisation open.
2. To edit the categorisations of a document, select the respective *pencil icon* of the desired fund. You are forwarded to the single transmission process for Fund Documents at the page *Documents* where you can edit the categorisations of the desired document by clicking to its *pencil icon*. Click the button transmit to submit the changes to the TDS of the Notification Office.

Already transmitted files cannot be deleted. In case you submitted a document whose content does not correspond to its published version (deviating or missing document publication), the document can be marked invalid by the Notification Office. In this case please send the Invalidation Request to meldestelle@oekb.at (download *Invalidation Request TDS*).

Use the same procedure for

- documents whose contents do correspond to the published version but which do not meet the transmission requirements (e.g. missing signature, no PDF/A...) or
- identical documents which were erroneously uploaded several times.



Capital Market
Services

