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**Annex to Article 1 Nr. 11 of the Third Regulation Amending the Regulation on the Reporting Requirements Relating to Trades in Securities and Derivatives of 18 December 2007**

**Annex to the  
Regulation on the Reporting Requirements Relating to Trades in Securities and Derivatives (*Wertpapierhandel-Meldeverordnung – WpHMV*)**

## Reporting Form

| Field No. | Field Name   | Label  | Type | Fmt  | Length | Comment   |
|-----------|--------------|--|------|------|--------|---|
| 1         | ART_ID_MP    | Type of identification of the party subject to the reporting requirement | A    | 1    | 1      | of party subject to the reporting requirement K=depository bank code,B=German bank code,M=member ID code of an electronic stock exchange trading system,D=DBAG identification number,W=BaFin  |
| 2         | ID_MP        | Identification of the party subject to the reporting requirement         | A    | 34   | 34     | -   |
| 3         | ART_ID_KD    | Type of identification (customer)  | A    | 1    | 1      | of party subject to the reporting requirement K=depository bank code,B=German bank code,M=electronic stock exchange trading system,D=DBAG,W=BaFin,F=BIC,I=IIBEI,R=securities account,S=ident. of securities account (party placing the order is not securities account holder),U=customer ident.,V=customer ident. (party placing the order is not the securities account holder) |
| 4         | ID_KD        | Identification (customer)  | A    | 34   | 34     | "SAMMELID" in case of sec. 16 of the WpHG and "AUSLAND" in case of foreign parties on behalf of foreign customers with "U" in field 3; otherwise in accordance with field 3   |
| 5         | ART_ID_MK    | Type of identification (broker)  | A    | 1    | 1      | of party subject to the reporting requirement K=depository bank code,B=German bank code,M=electronic stock exchange trading system,D=DBAG,W=BaFin,F=BIC,I=IIBEI   |
| 6         | ID_MK        | Identification (broker)  | A    | 34   | 34     | -   |
| 7         | ART_ID_KT    | Type of identification (counterparty)                                    | A    | 1    | 1      | of party subject to the reporting requirement K=depository bank code,B=German bank code,M=electronic stock exchange trading system,D=DBAG,W=BaFin,F=BIC,I=IIBEI   |
| 8         | ID_KT        | Identification (counterparty)  | A    | 34   | 34     | -   |
| 9         | ART_ID_ZWI1  | Type of identification (first intermediary)                              | A    | 1    | 1      | of party subject to the reporting requirement K=depository bank code,B=German bank code,M=electronic stock exchange trading system,D=DBAG,W=BaFin,F=BIC,I=IIBEI   |
| 10        | ID_ZWI1      | Identification (first intermediary)                                      | A    | 34   | 34     | -   |
| 11        | ART_ID_ZWI2  | Type of identification (second intermediary)                             | A    | 1    | 1      | of party subject to the reporting requirement K=depository bank code,B=German bank code,M=electronic stock exchange trading system,D=DBAG,W=BaFin,F=BIC,I=IIBEI   |
| 12        | ID_ZWI2      | Identification (second intermediary)                                     | A    | 34   | 34     | -   |
| 13        | HANDELSTAG   | Date of transaction  | N    | 8    | 8      | YYYYMMDD  |
| 14        | HANDELSZEIT  | Time of transaction  | N    | 6    | 6      | HHMMSS  |
| 15        | IM_NR        | Internal reference number  | A    | 40   | 40     | assigned by party subject to the reporting requirement, unique identification   |
| 16        | G_REF_BOERSE | Reference to stock exchange transaction                                  | A    | 16   | 16     | no entry  |
| 17        | G_ART        | Transaction type   | A    | 1    | 1      | V/K, K=Buy, V=Sell  |
| 18        | G_TYP        | Type of transaction/transaction code                                     | N    | 2    | 2      | 1=gross, 3=aggregation, 4=NH order; DBAG reports transaction code   |
| 19        | FLAG_NOSTROB | Own holdings   | A    | 1    | 1      | J,N   |
| 20        | FLAG_NOSTROG | Type of securities transaction   | A    | 1    | 1      | K=customer transaction, E= own-account transaction  |
| 21        | FLAG_BOERSE  | Indication of exchange price   | A    | 1    | 1      | J=exchange price, N=no exchange price   |
| 22        | LAND         | Country of transaction   | A    | 2    | 2      | ISO 3166  |
| 23        | BOERSE       | Trading venue  | A    | 11   | 11     | ISO 10383 or BIC of internaliser, "XOFF" for off-exchange   |
| 24        | WAEH_DEPOT   | Securities account currency  | A    | 3    | 3      | ISO 4217  |
| 25        | NOMINALE     | Quantity   | A    | var  | 16     | -   |
| 26        | WAEH_HANDEL  | Currency of the price (trading currency)                                 | A    | 3    | 3      | ISO 4217  |
| 27        | KURS         | Transaction price  | N    | 10,7 | 18     | -   |
| 28        | EMITTENT_NR  | Current issuer's code  | N    | 6    | 6      | no entry  |
| 29        | EMITTENT_UR  | Original issuer's code   | N    | 6    | 6      | no entry  |
| 30        | CFI-Code     | Type of security   | A    | 6    | 6      | ISO 10962   |
| 31        | ISIN         | International Securities Identification Number (ISIN)                    | A    | 12   | 12     | ISIN  |
| 32        | FLAG_NUM_ART | Country/derivatives code   | A    | 2    | 2      | ISO 3166 or "XP" for derivatives product code   |
| 33        | WKN          | German Securities Identification Number (WKN)                            | A    | 12   | 12     | German WKN, national securities identification number   |
| 34        | STAMM_WKN    | Main WKN   | N    | 6    | 6      | no entry  |
| 35        | WP_LANGBEZ   | Designation of security  | A    | 70   | 70     | -   |
| 36        | EINH_NOTIZ   | Quotation type   | N    | 1    | 1      | 1=units, 2=per cent, 3=per thousand, 4=points, 9=other  |
| 37        | ZINSSATZ     | Interest rate  | N    | 2,7  | 10     | no entry  |
| 38        | FAELLIGKEIT  | Final maturity date  | N    | 8    | 8      | no entry  |
| 39        | ART_DERIVAT  | Type of derivative   | A    | 1    | 1      | Call, Put, Future   |
| 40        | ART_ID_UNDER | Type of identification of the underlying instrument                      | A    | 2    | 2      | ISO 3166  |
| 41        | ID_UNDER     | Identification of the underlying instrument                              | A    | 12   | 12     | ISIN or WKN of the underlying instrument  |
| 42        | PREISMULTI   | Price multiplier   | N    | 10,7 | 18     | -   |
| 43        | VERSION_NR   | Version  | N    | 2    | 2      | no entry  |
| 44        | WAEH_BASISPR | Currency of the strike price of the option                               | A    | 3    | 3      | ISO 4217  |
| 45        | BASISPREIS   | Strike price of the option   | N    | 10,7 | 18     | -   |
| 46        | ART_NOT_BPR  | Quotation type of the strike price                                       | N    | 1    | 1      | 1=units, 2=per cent, 3=per thousand, 4=points, 9=other  |
| 47        | FAELLIG_DRVT | Maturity date of the derivative  | N    | 8    | 8      | YYYYMMDD  |
| 48        | STORNOTAG    | Cancellation date  | N    | 8    | 8      | YYYYMMDD  |
| 49        | ART_MELDESTZ | Type of report   | A    | 1    | 1      | no entry  |
| 50        | FLAGAKT      | Revised report   | A    | 1    | 1      | A=previously reported transaction, N=default  |
| 51        | VALUTA       | Value date   | N    | 8    | 8      | YYYYMMDD  |
| 52        | RZ_TRANSFER  | Data processing centre - file transfer                                   | A    | 5    | 5      | data processing centre for file transfer DWZA, DWZB, MBOX; DWZD for domestic clearing houses (Eurex, CCP)   |
| 53        | NEUDATUM_MP  | Preparation date   | N    | 8    | 8      | no entry  |
| 54        | ISN          | Internal serial number   | N    | 6    | 6      | SWIFT serial number of each day   |
| 55        | SWIFT_ADR    | Address of the reporting party   | A    | 12   | 12     | ID of reporting party   |
| 56        | EMPFANGDATUM | Date of receipt  | N    | 8    | 8      | no entry  |
| 57        | EMPFANGZEIT  | Time of receipt  | N    | 6    | 6      | no entry  |
| 58        | G_NR_UR      | Original DBAG reference number   | A    | 16   | 16     | Original DBAG reference number, e.g. after compulsory "Aufgabe"   |
| 59        | FLAG_AUFGABE | Code for name-to-follow transaction (Aufgabegeschäft)                    | A    | 1    | 1      | Code for name-to-follow transaction   |
| 60        | FLAG_ABRUFMK | Broker-specific identification mark                                      | A    | 1    | 1      | Broker-specific identification mark   |
| 61        | DBC_AEND_DAT | Date of last change  | N    | 8    | 8      | no entry  |

**Field description**

| Field No. | Title   |  |
|-----------|---|--|
| <b>1</b>  | <b>Type of identification of the party subject to the reporting requirement</b> |  |

The institution subject to the reporting requirement is identified through the BaFin identification number, the four-digit depository bank code (*Kassenvereinsnummer* – KVN) or the broker EDP code, the German bank code (*Bankleitzahl* – BLZ), the Bank Identifier Code (BIC), the member ID code of an electronic stock exchange trading system, the International Business Entity Identifier (IBEI) or an identification number provided by Deutsche Börse Group (DBAG). The latter may be entered only if the party subject to the reporting requirement has neither a depository bank code nor a German bank code nor a member ID code of an electronic stock exchange trading system.

| Type of reporting requirement | Length of field |  | Field type      | Explanation   |
|-------------------------------|-----------------|--|-----------------|---|
|                               | Digits          |  |                 |   |
| K                             | 4               |  | numerical       | Depository bank code or broker EDP code                       |
| B                             | 8               |  | numerical       | German bank code  |
| M                             | 5               |  | alpha-numerical | Member ID code of an electronic stock exchange trading system |
| D                             | 8               |  | numerical       | DBAG identification number                                    |
| W                             | 8               |  | numerical       | BaFin identification number                                   |
| F                             | 11              |  | alpha-numerical | BIC   |
| I                             | 10              |  | alpha-numerical | IBEI  |

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 1                     | A 1       |        | W = BaFin identification number<br>K = depository bank code or broker EDP code<br>B = German bank code<br>M = member ID code of an electronic stock exchange trading system<br>D = DBAG identification number<br>F = BIC<br>I = IBEI |

| Field No. | Title   |  |
|-----------|---|--|
| <b>2</b>  | <b>Identification of the party subject to the reporting requirement</b> |  |

Field for entering the identification itself, depending on the type of identification of the party subject to the reporting requirement (see previous field for more detailed information).

| Technical description |   |        |  |
|-----------------------|---|--------|--|
| Reference             | Dimension                                       | Format | Type of entry  |
| 2                     | N 8<br>N 4<br>N 8<br>A 5<br>N 8<br>A 11<br>A 10 |        | (if field 1 = W)<br>(if field 1 = K)<br>(if field 1 = B)<br>(if field 1 = M)<br>(if field 1 = D)<br>(if field 1 = F)<br>(if field 1 = I) |

| Field No. | Title                                    |  |
|-----------|--|--|
| <b>3</b>  | <b>Type of identification (customer)</b> |  |

Field for identifying the customer on whose behalf the reported purchase or sale has been effected. The customer specified here has carried out the reported transaction type (see field 17). The field does not need to be completed for own-account transactions of banks.

The customer is identified through the BaFin identification number, the four-digit depository bank

code (*Kassenvereinsnummer* – KVN) or the broker EDP code, the German bank code (*Bankleitzahl* – BLZ), the member ID code of an electronic stock exchange trading system, the Bank Identifier Code (BIC), the International Business Entity Identifier (IBEI), a unique customer or securities account identification number (in case of customers not subject to the reporting requirement) or through an identification number provided by Deutsche Börse Group (DBAG). The latter may be entered only if the party subject to the reporting requirement has neither a depository bank code nor a German bank code nor a member ID code of an electronic stock exchange trading system.

| Type of reporting requirement | Length of field | Explanation     |   |
|-------------------------------|-----------------|-----------------|---|
|                               |                 | Digits          | Field type  |
| K                             | 4               | numerical       | Depository bank code or broker EDP code   |
| B                             | 8               | numerical       | German bank code  |
| M                             | 5               | alpha-numerical | Member ID code of an electronic stock exchange trading system   |
| D                             | 8               | numerical       | DBAG identification number  |
| W                             | 8               | numerical       | BaFin identification number   |
| F                             | 11              | alpha-numerical | BIC   |
| I                             | 10              | alpha-numerical | IBEI  |
| R                             | 8               | alpha-numerical | Securities account identification number  |
| S                             | 8               | alpha-numerical | Securities account identification number in case party placing the order is not the securities account holder |
| U                             | 8               | alpha-numerical | Customer identification number  |
| V                             | 8               | alpha-numerical | Customer identification number in case party placing the order is not the securities account holder           |

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 3                     | A 1       |        | W = BaFin identification number<br>K = Depository bank code or broker EDP code<br>B = German bank code<br>M = Member ID code of an electronic stock exchange trading system<br>F = BIC<br>I = IBEI<br>D = DBAG identification number<br>R = Securities account identification number<br>S = Securities account identification number in case party placing the order is not the securities account holder<br>U = Customer identification number<br>V = Customer identification number in case party placing the order is not the securities account holder |

| Field No. | Title                            |  |
|-----------|----------------------------------|--|
| 4         | <b>Identification (customer)</b> |  |

Field for entering the customer's identification in accordance with the entry made in the field "Type of identification (customer)". In case of aggregated reports filed in accordance with section 16 of the WpHMV, "SAMMELID" must be stated; in case of reports filed by foreign parties on behalf of foreign customers who are not subject to the reporting requirement, "AUSLAND" must be stated.

| Technical description |   |        |  |
|-----------------------|---|--------|--|
| Reference             | Dimension                                       | Format | Type of entry  |
| 4                     | N 8<br>N 4<br>N 8<br>A 5<br>N 8<br>A 11<br>A 10 |        | (if field 3 = W)<br>(if field 3 = K)<br>(if field 3 = B)<br>(if field 3 = M)<br>(if field 3 = D)<br>(if field 3 = F)<br>(if field 3 = I) |

| Field No. | Title                                  |  |
|-----------|--|--|
| <b>5</b>  | <b>Type of identification (broker)</b> |  |

Field for entering the German broker who has arranged the transaction. The institution subject to the reporting requirement is identified through the BaFin identification number, the BIC, the IBEI or the four-digit depository bank code or the broker EDP code.

| Type of reporting requirement | Length of field<br>Digits | Field type      | Explanation                             |
|-------------------------------|---------------------------|-----------------|---|
| W                             | 8                         | numerical       | BaFin identification number             |
| K                             | 4                         | numerical       | Depository bank code or broker EDP code |
| F                             | 11                        | alpha-numerical | BIC                                     |
| I                             | 10                        | alpha-numerical | IBEI                                    |

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 5                     | A 1       |        | W = BaFin identification number<br>K = Depository bank code<br>F = BIC<br>I = IBEI |

| Field No. | Title                          |  |
|-----------|--------------------------------|--|
| <b>6</b>  | <b>Identification (broker)</b> |  |

Field for entering the identification in accordance with the field "Type of identification (broker)" (for details see previous field).

| Technical description |                            |        |  |
|-----------------------|----------------------------|--------|--|
| Reference             | Dimension                  | Format | Type of entry  |
| 6                     | N 8<br>N 4<br>A 11<br>A 10 |        | (if field 5 = W)<br>(if field 5 = K)<br>(if field 5 = F)<br>(if field 5 = I) |

| Field No. | Title  |  |
|-----------|--|--|
| 7         | <b>Type of identification (counterparty)</b> |  |

The fields "Type of identification (counterparty)" and "Identification (counterparty)" provide information about the counterparty if the counterparty is subject to the reporting requirement. These fields serve to identify the counterparty for the reported transaction type.

Any party subject to the reporting requirement may, as a rule, act as counterparty. The field must not be completed in case of transactions arranged by a German stock exchange broker.

The counterparty must be identified by means of the BaFin identification number, the four-digit depository bank code (*Kassenvereinsnummer* – KVN) or the broker EDP code, the German bank code (*Bankleitzahl* – BLZ), the member ID code of an electronic stock exchange trading system, the BIC, the IBEI or by means of an identification number provided by Deutsche Börse Group (DBAG). The latter may be entered only if the customer has neither a depository bank code nor a German bank code nor a member ID code of an electronic stock exchange trading system.



| Type of reporting requirement | Length of field | Field type      | Explanation  |
|-------------------------------|-----------------|-----------------|--|
| K                             | 4               | numerical       | Depository bank code or broker EDP code  |
| B                             | 8               | numerical       | German bank code   |
| M                             | 5               | alpha-numerical | Member ID code of an electronic stock exchange trading system  |
| D                             | 8               | numerical       | DBAG identification number (digits 1 and 2: `99` digits 3 to 8: international identification number of Clearstream Banking AG) |
| W                             | 8               | numerical       | BaFin identification number  |
| F                             | 11              | alpha-numerical | BIC  |
| I                             | 10              | alpha-numerical | IBEI   |

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry   |
| 7                     | A 34      |        | W = BaFin identification number<br>K = Depository bank code<br>B = German bank code<br>M = Member ID code of an electronic stock exchange trading system<br>D = DBAG identification number<br>F = BIC<br>I = IBEI |

| Field No. | Title                                |  |
|-----------|--------------------------------------|--|
| <b>8</b>  | <b>Identification (counterparty)</b> |  |

This field must be completed in accordance with the explanations provided under "Type of identification (counterparty)".

| Technical description |   |        |  |
|-----------------------|---|--------|--|
| Reference             | Dimension                                       | Format | Type of entry  |
| 8                     | N 8<br>N 4<br>N 8<br>A 5<br>N 8<br>A 11<br>A 10 |        | (if field 7 = W)<br>(if field 7 = K)<br>(if field 7 = B)<br>(if field 7 = M)<br>(if field 7 = D)<br>(if field 7 = F)<br>(if field 7 = I) |

| Field No. | Title  |  |
|-----------|--|--|
| 9         | <b>Type of identification (first intermediary)</b> |  |

The fields "Type of identification (first intermediary)" and "Identification (first intermediary)" refer to the first intermediary and shall be used when stating in a single report a commission business involving more than one intermediary. If the intermediary executes the transaction on a German stock exchange the reporting institutions are obliged to identify the intermediary by means of the depository bank code of the respective venue on which the transaction is executed.

The intermediary must be identified by means of the BaFin identification number, the four-digit depository bank code (*Kassenvereinsnummer* – KVN) or the broker EDP code, the German bank code (*Bankleitzahl* – BLZ), the BIC, the IBEI, the member ID code of an electronic stock exchange trading system or by means of an identification number provided by Deutsche Börse Group (DBAG). The latter may be entered only if the customer has neither a depository bank code nor a German bank code nor a member ID code of an electronic stock exchange trading system.

| Type of reporting requirement | Length of field | Field type      | Explanation  |
|-------------------------------|-----------------|-----------------|--|
| K                             | 4               | numerical       | Depository bank code or broker EDP code  |
| B                             | 8               | numerical       | German bank code   |
| M                             | 5               | alpha-numerical | Member ID code of an electronic stock exchange trading system  |
| D                             | 8               | numerical       | DBAG identification number (digits 1 and 2: `99` digits 3 to 8: international identification number of Clearstream Banking AG) |
| W                             | 8               | numerical       | BaFin identification number  |
| F                             | 11              | alpha-numerical | BIC  |
| I                             | 10              | alpha-numerical | IBEI   |

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry   |
| 9                     | A 1       |        | W = BaFin identification number<br>K = Depository bank code<br>B = German bank code<br>M = Member ID code of an electronic stock exchange trading system<br>D = DBAG identification number<br>F = BIC<br>I = IBEI |

| Field No. | Title                               |  |
|-----------|-------------------------------------|--|
| 10        | Identification (first intermediary) |  |

This field must be completed in accordance with the data entered into the field "Type of identification (first intermediary)".

| Technical description |   |        |  |
|-----------------------|---|--------|--|
| Reference             | Dimension                                       | Format | Type of entry  |
| 10                    | N 8<br>N 4<br>N 8<br>A 5<br>N 8<br>A 11<br>A 10 |        | (if field 9 = W)<br>(if field 9 = K)<br>(if field 9 = B)<br>(if field 9 = M)<br>(if field 9 = D)<br>(if field 9 = F)<br>(if field 9 = I) |

| Field No. | Title   |  |
|-----------|---|--|
| <b>11</b> | <b>Type of identification (second intermediary)</b> |  |

The fields "Type of identification (second intermediary)" and "Identification (second Intermediary)" refer to the second intermediary and shall be used to comprise in a single report a commission business involving more than one intermediary. If the intermediary executes the transaction on a German stock exchange the reporting institutions are obliged to identify the intermediary through the depository bank code of the respective venue on which the transaction is executed.

The second intermediary is to be stated only if a first intermediary has been entered in field no. 9.

The second intermediary must be identified by means of the BaFin identification number, the four-digit depository bank code or the broker EDP code, the German bank code, the member ID code of an electronic stock exchange trading system, the BIC, the IBEI or by means of an identification number provided by Deutsche Börse Group (DBAG). The latter may be entered only if the customer has neither a depository bank code nor a German bank code nor a member ID code of an electronic stock exchange trading system.

| Type of reporting requirement | Length of field | Field type      | Explanation  |
|-------------------------------|-----------------|-----------------|--|
|                               | Digits          |                 |  |
| K                             | 4               | numerical       | Depository bank code or broker EDP code  |
| B                             | 8               | numerical       | German bank code   |
| M                             | 5               | alpha-numerical | Member ID code of an electronic stock exchange trading system  |
| D                             | 8               | numerical       | DBAG identification number (digits 1 and 2: `99` digits 3 to 8: international identification number of Clearstream Banking AG) |
| W                             | 8               | numerical       | BaFin identification number  |
| F                             | 11              | alpha-numerical | BIC  |
| I                             | 10              | alpha-numerical | IBEI   |

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 11                    | A 1       |        | W = BaFin identification number<br>K = Depository bank code or broker EDP code<br>B = German bank code<br>M = Member ID code of an electronic stock exchange trading system<br>D = DBAG identification number<br>F = BIC<br>I = IBEI |

| Field No. | Title                                |  |
|-----------|--------------------------------------|--|
| 12        | Identification (second intermediary) |  |

This field must be completed in accordance with the data entered into the field "Type of identification (second intermediary)".

| Technical description |   |        |   |
|-----------------------|---|--------|---|
| Reference             | Dimension                                       | Format | Type of entry   |
| 12                    | N 8<br>N 4<br>N 8<br>A 5<br>N 8<br>A 11<br>A 10 |        | (if field 11 = W)<br>(if field 11 = K)<br>(if field 11 = B)<br>(if field 11 = M)<br>(if field 11 = D)<br>(if field 11 = F)<br>(if field 11 = I) |

| Field No. | Title                      |  |
|-----------|----------------------------|--|
| <b>13</b> | <b>Date of transaction</b> |  |

Field for entering the date of the transaction.

| Technical description |           |          |               |
|-----------------------|-----------|----------|---------------|
| Reference             | Dimension | Format   | Type of entry |
| 13                    | N 8       | YYYYMMDD | (date)        |

| Field No. | Title                      |  |
|-----------|----------------------------|--|
| <b>14</b> | <b>Time of transaction</b> |  |

Field for entering the time of the transaction in accordance with the entry made in the field "Date of transaction".

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 14                    | N 6       | HHMMSS | (CET/CEST)    |

| Field No. | Title                            |  |
|-----------|----------------------------------|--|
| <b>15</b> | <b>Internal reference number</b> |  |

Field for entering an internal reference number assigned by the party subject to the reporting requirement in order to provide the unique identification required by law. The number will be used to track the transaction at the party subject to

the reporting requirement in the event that any investigations need to be conducted.

| Technical description |           |        |                   |
|-----------------------|-----------|--------|-------------------|
| Reference             | Dimension | Format | Type of entry     |
| 15                    | A 33      |        | (ANSI characters) |

| Field No. | Title  |  |
|-----------|--|--|
| <b>16</b> | <b>Reference to stock exchange transaction</b> |  |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 16                    |           |        | (blank)       |

| Field No. | Title                   |  |
|-----------|-------------------------|--|
| <b>17</b> | <b>Transaction type</b> |  |

The transaction type indicates whether the transaction was a buy or a sell. Please use "K" for "Buy" and "V" for "Sell".

| Technical description |           |        |                     |
|-----------------------|-----------|--------|---------------------|
| Reference             | Dimension | Format | Type of entry       |
| 17                    | A 1       |        | K = Buy<br>V = Sell |

| Field No. | Title                                       |  |
|-----------|---|--|
| <b>18</b> | <b>Type of transaction/transaction code</b> |  |

The parties subject to the reporting requirement shall use this field for explaining particular features of the reported data. Deutsche Börse Group reports the transaction code used in its systems.

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 18                    | N 2       |        | 1 = gross settlement<br>3 = aggregation of transactions<br>4 = NH order<br><br>or transaction code for reports filed by Deutsche Börse Group |

| Field No. | Title               |  |
|-----------|---------------------|--|
| <b>19</b> | <b>Own holdings</b> |  |

This field indicates whether or not the transaction concerns own holdings.

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 19                    | A 1       |        | J = own holdings are concerned<br>N = own holdings are not concerned |

| Field No. | Title                                 |  |
|-----------|---------------------------------------|--|
| <b>20</b> | <b>Type of securities transaction</b> |  |

This field provides information on the type of the reported securities transaction, i.e. whether it was carried out on behalf of a customer or on own account.

The following relationship exists between "Own holdings" and "Type of securities transaction":

"Type of securities transaction" = "K"

"Own holdings" = "J" or "N"

"Type of securities transaction" = "E"

"Own holdings" = "J"

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry   |
| 20                    | A 1       |        | K = customer transaction<br>E = own-account transaction |



| <b>Field No.</b> | <b>Title</b>                        |  |
|------------------|-------------------------------------|--|
| <b>21</b>        | <b>Indication of exchange price</b> |  |

This field indicates whether the transaction was concluded at an exchange price within the meaning of section 24 of the German Exchange Act (*Börsengesetz* – BörsG) or not.

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry                               |
| 21                    | A 1       |        | J = exchange price<br>N = no exchange price |

| <b>Field No.</b> | <b>Title</b>                  |  |
|------------------|-------------------------------|--|
| <b>22</b>        | <b>Country of transaction</b> |  |

Field for entering the country in which the transaction was executed. This information is to be entered only if it is not possible to complete field no. 23.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 22                    | A 2       |        | ISO 3166      |

| <b>Field No.</b> | <b>Title</b>         |  |
|------------------|----------------------|--|
| <b>23</b>        | <b>Trading venue</b> |  |

Field for entering the trading venue where the transaction was executed (ISO 10383 – Market Identifier Codes). Trading platforms of internalisers are to be identified through the BIC of the operator. Off-exchange transactions are to be reported using the code "XOFF".

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry                                    |
| 23                    | A 11      |        | (ISO 10383) or BIC of the internaliser or "XOFF" |

| Field No. | Title                              |  |
|-----------|------------------------------------|--|
| <b>24</b> | <b>Securities account currency</b> |  |

The securities account currency (the units or currency in which the securities concerned were traded) specifies the quantity and is independent of the units or currencies in which the securities concerned are quoted. The securities account currency may be shares, as is usually the case for stock, or contracts, as is usually the case for derivatives.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 24                    | A 3       |        | ISO 4217      |

| Field No. | Title           |  |
|-----------|-----------------|--|
| <b>25</b> | <b>Quantity</b> |  |

Field for entering the quantity of the order or transaction.

The field "Quotation type" specifies whether the quantity refers to the number of units, the nominal value denominated in euros, dollars, etc., or to the number of contracts.

| Technical description |           |                    |               |
|-----------------------|-----------|--------------------|---------------|
| Reference             | Dimension | Format             | Type of entry |
| 25                    | N 16      | 10.4 / 12.3 / 14.0 | (amount)      |

| <b>Field No.</b> | <b>Title</b>                                    |  |
|------------------|---|--|
| <b>26</b>        | <b>Currency of the price (trading currency)</b> |  |

The trading currency entered here defines the currency in which the transaction price specified in field no. 27 is expressed.

| <b>Technical description</b> |           |        |               |
|------------------------------|-----------|--------|---------------|
| Reference                    | Dimension | Format | Type of entry |
| 26                           | A 3       |        | ISO 4217      |

| <b>Field No.</b> | <b>Title</b>             |  |
|------------------|--------------------------|--|
| <b>27</b>        | <b>Transaction price</b> |  |

The transaction price stated must refer to the transaction being reported.

Please note that none of the currencies stated in the report needs to be identical with the settlement currency, which is not required to be reported.

| <b>Technical description</b> |           |        |               |
|------------------------------|-----------|--------|---------------|
| Reference                    | Dimension | Format | Type of entry |
| 27                           | N 18      | 10.7   | (amount)      |

| <b>Field No.</b> | <b>Title</b>                 |  |
|------------------|------------------------------|--|
| <b>28</b>        | <b>Current issuer's code</b> |  |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 28                    |           |        | (blank)       |

| Field No. | Title                  |  |
|-----------|------------------------|--|
| 29        | Original issuer's code |  |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 29                    |           |        | (blank)       |

| Field No. | Title            |  |
|-----------|------------------|--|
| 30        | Type of security |  |

Please enter the CFI code.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 30                    | A 6       |        | ISO 10962     |

| Field No. | Title   |  |
|-----------|---|--|
| 31        | International Securities Identification Number (ISIN) |  |

This field contains the International Securities Identification Number (ISIN) of the traded security or, where available, of the derivative.

| Technical description |           |              |                     |
|-----------------------|-----------|--------------|---------------------|
| Reference             | Dimension | Format       | Type of entry       |
| 31                    | A 12      | AANNNNNNNNNN | (according to ISIN) |

| Field No. | Title                           |  |
|-----------|---------------------------------|--|
| 32        | <u>Country/derivatives code</u> |  |

This field is for entering the code designating the country of origin of the securities identification number. In the case of derivatives that are identified by the product code, please enter "XP".

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 32                    | A 2       |        | ISO 3166      |

| Field No. | Title  |  |
|-----------|--|--|
| 33        | <b>German Securities Identification Number (WKN)</b> |  |

As an alternative to the ISIN, the traded security may also be specified by means of the German Securities Identification Number (*Wertpapierkennnummer* – WKN) or another national identification number. The security is not subject to the reporting requirement if investigations carried out by the party subject to the reporting requirement reveal that no national identification number is available.

The identification number is to be entered in accordance with the entry made in the field "Country/derivatives code". It is not permitted to enter an in-house identification number.

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry                                |
| 33                    | A 12      |        | (German WKN, national identification number) |

| Field No. | Title           | Label |
|-----------|-----------------|-------|
| 34        | <b>Main WKN</b> |       |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 34                    | N 6       |        | (blank)       |

| Field No. | Title                          |  |
|-----------|--------------------------------|--|
| <b>35</b> | <b>Designation of security</b> |  |

Field for entering an appropriate designation of the security which is also used for general trading purposes.

| Technical description |           |        |                      |
|-----------------------|-----------|--------|----------------------|
| Reference             | Dimension | Format | Type of entry        |
| 35                    | A 70      |        | (ANSI character set) |

| Field No. | Title                 |  |
|-----------|-----------------------|--|
| <b>36</b> | <b>Quotation type</b> |  |

The quotation type specifies the manner in which the securities concerned are quoted (units, percentages, etc.).

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 36                    | N 1       |        | 1 = units<br>2 = per cent<br>3 = per thousand<br>4 = points<br>9 = other |

| Field No. | Title                |  |
|-----------|----------------------|--|
| <b>37</b> | <b>Interest rate</b> |  |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 37                    | N 10      | 2.7    | (blank)       |

| Field No. | Title                      |  |
|-----------|----------------------------|--|
| <b>38</b> | <b>Final maturity date</b> |  |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 38                    |           |        | (blank)       |

| Field No. | Title                     |  |
|-----------|---------------------------|--|
| <b>39</b> | <b>Type of derivative</b> |  |

Field for entering the type of the traded derivative.

| Technical description |           |        |                                   |
|-----------------------|-----------|--------|-----------------------------------|
| Reference             | Dimension | Format | Type of entry                     |
| 39                    | A 1       |        | C = Call<br>P = Put<br>F = Future |

| Field No. | Title  |  |
|-----------|--|--|
| <b>40</b> | <b>Type of identification of the underlying instrument</b> |  |

This field is for entering the securities identification number of the underlying instrument. It shall contain the code of the country of origin of the securities identification number.

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry                                      |
| 40                    | A 2       |        | ISO 3166 in case of national identification number |

| Field No. | Title  |  |
|-----------|--|--|
| <b>41</b> | <b>Identification of the underlying instrument</b> |  |

This field is for entering either the ISIN or a national identification number.

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry   |
| 41                    | A 12      |        | (ISIN, German WKN of the underlying instrument, or blank) |

| Field No. | Title                   |  |
|-----------|-------------------------|--|
| <b>42</b> | <b>Price multiplier</b> |  |

The price multiplier is to be entered only for derivatives transactions and shall specify the number of units represented by one contract in accordance with the product specifications of the stock exchange.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 42                    | N 18      | 10.7   | (multiplier)  |

| Field No. | Title          |  |
|-----------|----------------|--|
| <b>43</b> | <b>Version</b> |  |

No data must be entered into this field.



| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 43                    |           |        | (blank)       |

| Field No. | Title   |  |
|-----------|---|--|
| <b>44</b> | <b>Currency of the strike price of the option</b> |  |

The currency of the strike price of the option specifies the figure entered in field no. 45 "Strike price of the option".

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 44                    | A 3       |        | ISO 4217      |

| Field No. | Title                             |  |
|-----------|-----------------------------------|--|
| <b>45</b> | <b>Strike price of the option</b> |  |

With call and put options it is mandatory to enter the strike price, which completes the description of the traded series.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 45                    | N 18      | 10.7   | (amount)      |

| Field No. | Title                                     |  |
|-----------|---|--|
| <b>46</b> | <b>Quotation type of the strike price</b> |  |

The quotation type provides further information on the strike price.

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 46                    | N 1       |        | 1 = units<br>2 = per cent<br>3 = per thousand<br>4 = points<br>9 = other |

| Field No. | Title                                  |  |
|-----------|--|--|
| <b>47</b> | <b>Maturity date of the derivative</b> |  |

The maturity date of the derivative is to be entered here in accordance with the product specifications of the respective stock exchange.

| Technical description |           |          |               |
|-----------------------|-----------|----------|---------------|
| Reference             | Dimension | Format   | Type of entry |
| 47                    | N 8       | YYYYMMDD | (date)        |

| Field No. | Title                    |  |
|-----------|--------------------------|--|
| <b>48</b> | <b>Cancellation date</b> |  |

(see section 11 sentence 1 of the WpHVMV)

| Technical description |           |          |               |
|-----------------------|-----------|----------|---------------|
| Reference             | Dimension | Format   | Type of entry |
| 48                    | N 8       | YYYYMMDD | (date)        |

| Field No. | Title                 | Label |
|-----------|-----------------------|-------|
| <b>49</b> | <b>Type of report</b> |       |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 49                    | A 1       |        | (blank)       |

| Field No. | Title                 |  |
|-----------|-----------------------|--|
| <b>50</b> | <b>Revised report</b> |  |

(see section 11 sentences 2 and 3 of the WpHMV)

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry                                      |
| 50                    | A 1       |        | A = previously reported transaction<br>N = default |

| Field No. | Title             |  |
|-----------|-------------------|--|
| <b>51</b> | <b>Value date</b> |  |

The value date of a securities transaction is the date for which the money settlement has been agreed.

This field also provides information in cases where a particular value date accounts for a price that deviates substantially from the market price (as is the case e.g. with futures and options).

| Technical description |           |          |               |
|-----------------------|-----------|----------|---------------|
| Reference             | Dimension | Format   | Type of entry |
| 51                    | N 8       | YYYYMMDD | (date)        |

| Field No. | Title   |  |
|-----------|---|--|
| <b>52</b> | <b>Data processing centre – file transfer</b> |  |

This field is for identifying the source of the report. Parties subject to the reporting requirement using the mailbox procedure shall enter "MBOX". If the file

is transmitted via a fixed line the entry shall be made using the ID agreed with BaFin.

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry   |
| 52                    | A 5       |        | (ID) = ID agreed with BaFin<br>e.g. MBOX = direct notifier;<br>DWZA = reports submitted via DBAG;<br>DWZB = brokerage XONTRO;<br>DWZD = domestic clearing house |

| Field No. | Title                   |  |
|-----------|-------------------------|--|
| <b>53</b> | <b>Preparation date</b> |  |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 53                    |           |        | (blank)       |

| Field No. | Title                         |  |
|-----------|-------------------------------|--|
| <b>54</b> | <b>Internal serial number</b> |  |

This field requires a serial numbering for each day and reporting party, starting with "1".

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry                                  |
| 54                    | N 6       |        | Serial number for each day and reporting party |

| Field No. | Title                                 |  |
|-----------|---------------------------------------|--|
| <b>55</b> | <b>Address of the reporting party</b> |  |

Field for entering the identification of the party subject to the reporting requirement in accordance with the entry made in the field "Identification of the party subject to the reporting requirement".

This field is generated automatically during the SWIFT data transfer. It contains the SWIFT address of the reporting party.

| Technical description |           |        |  |
|-----------------------|-----------|--------|--|
| Reference             | Dimension | Format | Type of entry  |
| 55                    | A 12      |        | (ID of the reporting party)<br>File transfer = SWIFT address<br>Dialog = existing depository bank code |

| Field No. | Title                  |  |
|-----------|------------------------|--|
| <b>56</b> | <b>Date of receipt</b> |  |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 56                    |           |        | (blank)       |

| Field No. | Title                  |  |
|-----------|------------------------|--|
| <b>57</b> | <b>Time of receipt</b> |  |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 57                    |           |        | (blank)       |

| Field No. | Title                                 | Label |
|-----------|---------------------------------------|-------|
| <b>58</b> | <b>Original DBAG reference number</b> |       |

The entry made in this field makes it possible to track a transaction among brokers in the course of which reference numbers have changed.

Should the reference number change in the course of a transaction, i.e. because a name-to-follow transaction (*Aufgabegeschäft*) has been passed on, this field must contain the original reference number.

This field is relevant only if a broker passes on or closes a name-to-follow transaction.

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry   |
| 58                    | A 16      |        | Numerical code of the German exchanges that use the trading floor system (ISO 10383)<br>Date to be entered as YYMMDD<br>Full figures required |

| Field No. | Title   |  |
|-----------|---|--|
| <b>59</b> | <b>Code for name-to-follow transaction (<i>Aufgabegeschäft</i>)</b> |  |

Field for indicating and classifying transactions by a broker where the designation of the counterparty is deferred for a specific period (*Aufgabegeschäft*).

This field shall contain the broker's code for such name-to-follow transactions.

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry   |
| 59                    | A 1       |        | 0 = counterparty has been designated<br>1 = name-to-follow transaction<br>3 = closing of a name-to-follow transaction<br>4 = passing on of name-to-follow transaction |

| Field No. | Title                               |  |
|-----------|-------------------------------------|--|
| 60        | Broker-specific identification mark |  |

This field contains additional information about the brokered transaction.

Field for entering the broker-specific identification mark contained in the XONTRO brokerage report.

| Technical description |           |        |   |
|-----------------------|-----------|--------|---|
| Reference             | Dimension | Format | Type of entry   |
| 60                    | A 1       |        | (blank) = transaction<br>D = cancellation<br>E = cancellation of a name-to-follow transaction ( <i>Aufgabegeschäft</i> )<br>F = information about cancellation of a transaction between brokers ( <i>HuM-Geschäft</i> )<br>L = compulsory name-to-follow transaction/compulsory passing on of a name-to-follow transaction (counterparty = bank)<br>R = cancellation: compulsory name-to-follow transaction/compulsory passing on of a name-to-follow transaction (counterparty = bank) |

| Field No. | Title                   | Label |
|-----------|-------------------------|-------|
| 61        | Date of the last change |       |

No data must be entered into this field.

| Technical description |           |        |               |
|-----------------------|-----------|--------|---------------|
| Reference             | Dimension | Format | Type of entry |
| 61                    |           |        | (blank)       |