

Information sheet

Registration and admission to the MVP-specialised procedure “Notifications of Major Holdings (Sec. 33 et seq. WpHG)”

For submitting notifications of major holdings by electronic means via BaFin’s Reporting and Publishing Platform (MVP-portal) a registration and an application to the MVP-specialised procedure “Notifications of Major Holdings (Sec. 33 et seq. WpHG)” is preconditional. If you want to test the specialised procedure for submission of notifications of major holdings you can apply for admission to the specialised procedure “TEST_Notifications of Major Holdings (Sec. 33 et seq. WpHG)”, through which notifications are not submitted with a legally binding effect. The explanation given in this sheet apply accordingly to the application for admission to the test-environment.

Step 1: Registration on MVP

BaFin’s MVP-portal is accessible via BaFin’s homepage (www.bafin.de):



MVP Portal

This service is intended for those providers who would like to meet BaFin’s notification, reporting and transmission requirements on the basis of a simple and secure electronic data exchange system or who are required to use the Reporting and Publishing Platform.

[> More](#)

By following the link “MVP Portal” you will be directed to an overview of BaFin’s existing specialised procedures, inter alia for “Notifications of Major Holdings (Sec. 33 et seq. WpHG)”. By following either directly the link to “To MVP Portal” or

indirectly via “Notifications of Major Holdings (Sec. 33 et seq. WpHG)” you will be directed to the log-in site of the MVP-portal:

The screenshot shows the BaFin MVP Portal login page. At the top left is the BaFin logo. To its right, the text reads "Federal Financial Supervisory Authority MVP Portal". Below this is a navigation bar with "Welcome to the MVP Portal of BaFin". The main content area is divided into two sections. The first section, "Your log-in data for the MVP Portal", contains a prompt "Please enter your username and password below." followed by input fields for "Username:" and "Password:", a "Login" button, and links for "Forgot your password?" and "Forgot your username?". The second section, "Your registration data for the MVP Portal", contains an information icon, a prompt "If you are not yet a registered user, please register using the button below.", and a "Registration" button. At the bottom, there is a support desk contact: "If you are looking for technical advice or are encountering any problems, don't hesitate to contact our support desk via the e-mail address supplied. mvp-support@bafin.de". A sidebar on the left contains navigation links under "Language" (Deutsch, English), "General information" (Home, Documentation / Help, Login), and "User account" (Registration, Request username, Request new password).

If you are already registered on the MVP-portal, you can log in and proceed to “Step 2”, otherwise select “Registration”, which will direct you to the following site:

The screenshot shows the BaFin MVP Portal registration page. At the top left is the BaFin logo. To its right, the text reads "Federal Financial Supervisory Authority MVP Portal". Below this is a navigation bar with "Registration". The main content area is divided into two sections. The first section, "Capacity in which you would like to register", contains two radio button options: "as a natural person" and "as a contact person of a company", followed by a "Refresh / Submit" button. The second section is a blue information box with an information icon, containing the text: "You may apply for a user account in the capacity as a natural person (private individual) or as a contact person (employee). If you are a natural person, please enter your private e-mail address. If you are a contact person of a company, please enter your company e-mail address. Please note that you can register only once with your e-mail address as your e-mail address is attributed to your user account." A sidebar on the left contains navigation links under "Language" (Deutsch, English), "General information" (Home, Documentation / Help, Login), and "User account" (Registration, Request username, Request new password).

At first, you will be asked to select in which capacity you like to submit notifications through the MVP-portal. If you act as natural person and want to submit a notification for yourself or on behalf of a third party which mandated you personally, please select “as a natural person”. For *all* other cases, particularly for acting as a representative of a company or firm, please select “as a contact person of a company”. The registration and application as “registered person” on the MVP-portal is independent from whether you are going to submit a notification of major holdings on your own behalf or on behalf on any third party which mandated you to submit a notification.

Examples:

- Mr. T is responsible within “T Invest plc” for disclosing notifications of major holdings. The registration should be made by Mr. T *as contact person of the company* “T Invest plc”.
- Mrs. T is lawyer of the law firm “T Attorneys” and submits for its clients notifications of major holdings. The registration should be made by Mrs. T *as contact person of the company* “T Attorneys”.
- Mr. B, working with “T Invest plc” as well, inherits a significant holding of voting rights. If he does not intend to mandate Mr. T or Mrs. T (who are admitted to submit notifications through BaFin’s MVP-portal), he could register as natural person in order to submit the notification for himself.

In the next step you have to provide more details on you and on the respective company, if you register in your capacity as contact person of such company or firm.

1. Alternative: Registration as natural person

The screenshot shows the BaFin MVP Portal registration page. The header includes the BaFin logo and the text 'Federal Financial Supervisory Authority MVP Portal'. The page is titled 'Registration'. On the left, there is a navigation menu with sections: Language (Deutsch, English), General information (Home, Documentation / Help, Login), and User account (Registration, Request username, Request new password). The main content area is divided into three sections: 'Capacity in which you would like to register' with radio buttons for 'as a natural person' (selected) and 'as a contact person of a company'; 'Personal details' with input fields for Prefix, Title, First name, Surname, and E-mail (marked as mandatory); and a 'Send' button. A blue information box on the right contains instructions: 'You may apply for a user account in the capacity as a natural person (private individual) or as a contact person (employee). If you are a natural person, please enter your private e-mail address. If you are a contact person of a company, please enter your company e-mail address. Please note that you can register only once with your e-mail address as your e-mail address is attributed to your user account.'

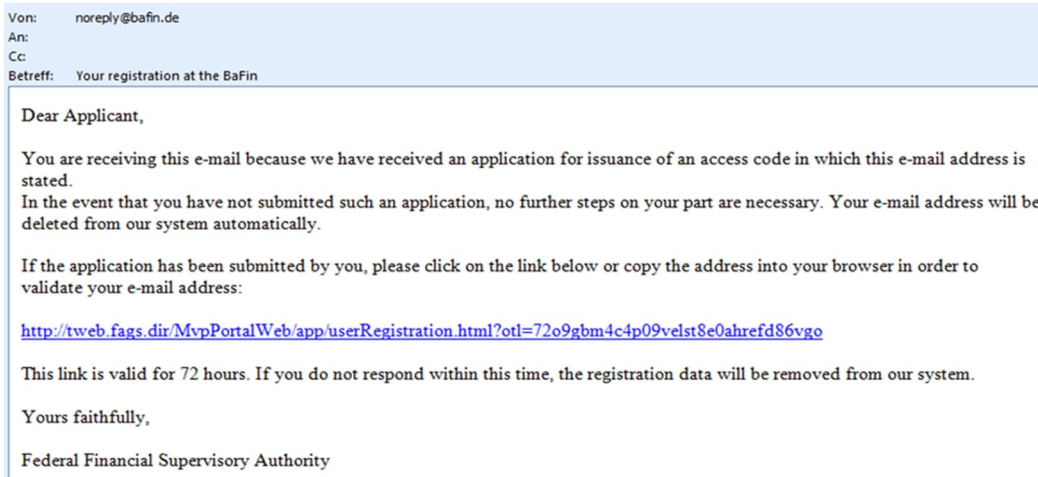
2. Alternative: Registration as contact person of a company

The screenshot shows the BaFin MVP Portal registration page for a contact person of a company. The layout is similar to the first screenshot, but the 'as a contact person of a company' radio button is selected. The 'Personal details' section remains the same. A new 'Company details' section is added, featuring an input field for 'Company name' (marked as mandatory). The blue information box on the right is identical to the one in the first screenshot.

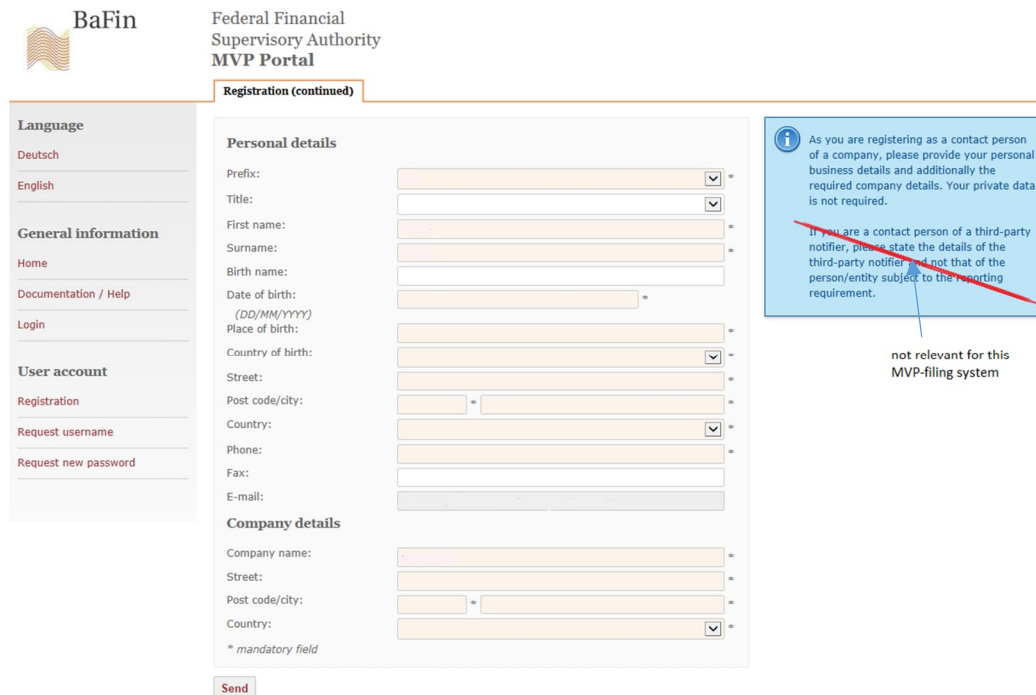
After filling in the necessary information and clicking "Send" the following dialogue will be displayed:

The screenshot shows the BaFin MVP Portal registration page after a successful registration. The page displays a green success message: 'Your registration has been successful.' Below this, a blue information box instructs the user: 'Please check your e-mail inbox and confirm the registration in order to activate your access.' The 'Personal details' and 'Company details' sections are visible but faded, indicating they are no longer the primary focus of the current step.

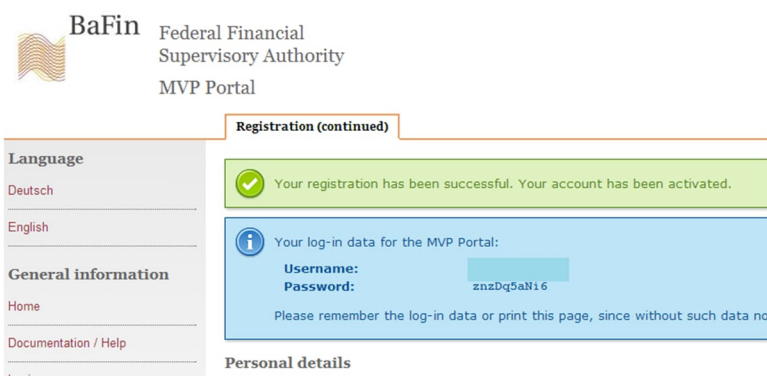
You will receive the following email under the address you provided at registration:



By following the link you will be directed BaFin's MVP-portal, where you are asked to provide additional information regarding your address- and contact-details. In case of registration as contact person of a company or firm please do not enter your private address- and contact-details, but those within your company.



By clicking "Send" you finish the registration process and the following dialogue is displayed, followed by username and an individual password for a secure email communication:



Step 2: Application for admission to the MVP-specialised procedure “Notifications of Major Holdings (Sec. 33 et seq. WpHG):

For applying admission to the MVP-specialised procedure “Notifications of Major Holdings (sec. 33 et seq. WpHG)” (or admission to “TEST_Notifications of Major Holdings (sec. 33 et seq. WpHG)”, as the case may be¹) you have to log on the MVP-portal and click “Application for a specialised procedure”:

BaFin Federal Financial Supervisory Authority
MVP Portal

BaFin Reporting and Publishing Portal Logged in as:

Welcome to the Reporting and Publishing Portal of the German Federal Financial Supervisory Authority (BaFin). This service facilitates electronic data exchange between your site and BaFin in a secure and easy-to-use way.

You have been registered as a user for this service. As of now you can start to report on the topics you have been assigned.

The state of the reporting and processing of your data, as well as other information of relevance, can be viewed from the log information supplied on this portal.

In order to make the reporting and gathering information easier for you, we appreciate any suggestions for improvement.

If you are looking for technical advice or are encountering any problems, don't hesitate to contact our support desk via the email address supplied.

mvp-support@bafin.de

However, we ask you to kindly note that we must confine communications regarding details of particular reporting obligations to personnel officially assigned to reporting within your organisation.

With best regards
BaFin Technical Team

Language
Deutsch
English

General information
Home
Documentation / Help
Logout

Specialised procedure
Submit report
View journal
Application for a specialised procedure
Cancel specialised procedure
View application list

User account

From the drop down-list please select “Notifications of Major Holdings (Sec. 33 et seq. WpHG)” (or TEST_Notifications of Major Holdings (sec. 33 et seq. WpHG)”, if you want to apply for the test-environment), which will lead you to the following site:

BaFin Federal Financial Supervisory Authority
MVP Portal

Application for a specialised procedure Logged in as:

Specialised procedure
Specialised procedure: Notification of significant voting rights (sec. 33 et seq. WpHG) * mandatory field [Change selection](#)

Notifying party

- Notifier for a registered person/entity subject to the notification requirement
- Direct notifier (notifying party is a person/entity subject to the notification requirement or a contact person of such person/entity)
- Third-party notifier for a natural person (notifying party is a third-party notifier itself or a contact person of a third-party notifier)
- Third-party notifier for a company (notifying party is a third-party notifier itself or a contact person of a third-party notifier)

[Refresh / Submit](#)

Person/entity subject to the notification requirement
A person/entity subject to the notification requirement is a legal or natural person that is required to submit a notification to BaFin.

Third-party notifier
A third-party notifier is a natural or legal person that submits notifications on behalf of a person/entity subject to the notification requirement. In order for the third-party notifier to fulfil the requirement, the authorisation issued by the person/entity subject to the notification requirement has to be furnished. If the notification requirement is fulfilled by a contact person of a third-party notifier, the authorisation issued by the third-party notifier has to be furnished.

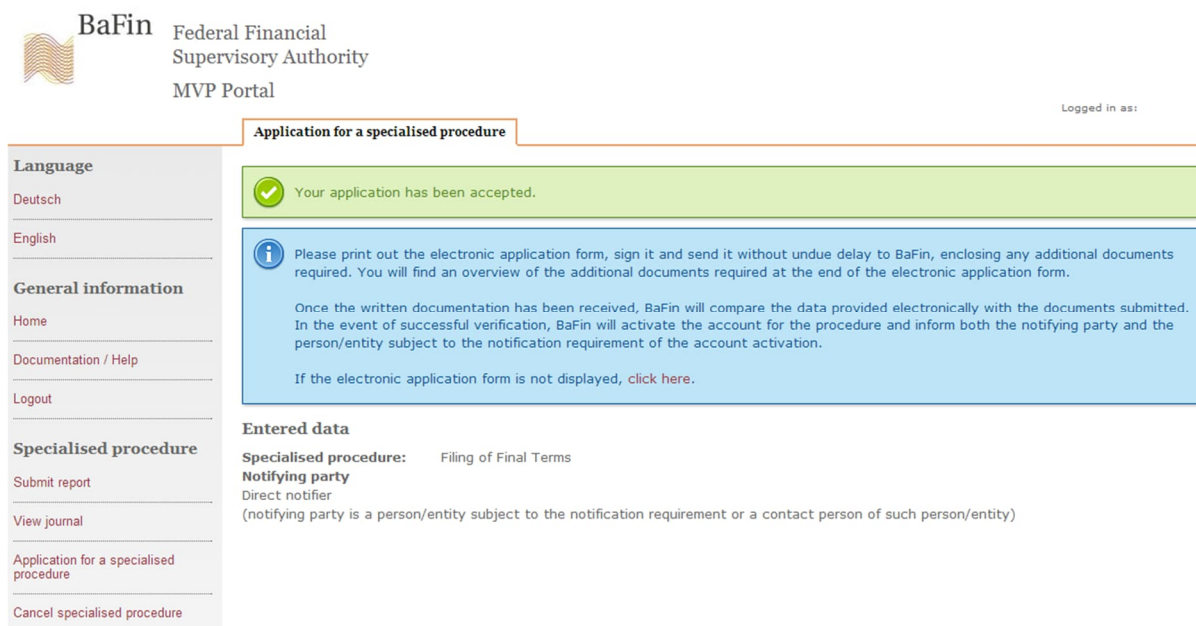
Direct notifier
A direct notifier is a person/entity subject to the notification requirement that submits notifications on behalf of itself or, e.g. in the case of legal persons, through its contact person. If the person subject to the notification requirement is a natural person, there is usually no other contact person. If the notification requirement is fulfilled by a contact person of the person/entity subject to the notification requirement, the authorisation issued in this regard has to be furnished.

¹ The following steps described in this information sheet do not differ whether you apply for admission to the test-environment or to the specialised procedure for submitting notifications in a legally binding way. However, if you intend to apply for admission to the test-environment, please make sure you select „TEST_Notifications of Major Holdings (sec. 33 et seq. WpHG)“.

Please select always "Direct notifier", even if this seems not to be applicable in your case. By selecting "Direct notifier" you will still be able to submit a notification on behalf of a third party as the application refers to the person/ entity registered on the MVP-portal and not to the party subject to the notification obligation.

After clicking "Refresh/Submit", a pdf-document of your application for the MVP-specialised procedure "Notifications of Major Holdings (Sec. 33 et seq. WpHG)" will be displayed. For finalizing the application process you have to send the signed and scanned application form to BaFin via email to stimmrechte-support@bafin.de (alternatively via telefax to (+49) (0)228 4108 1550 or mail). Additional documents are not required, unless BaFin requests those documents during the application process.

After "submitting application" you will receive the following notice:



The screenshot shows the BaFin MVP Portal interface. At the top left is the BaFin logo and the text "Federal Financial Supervisory Authority MVP Portal". On the right, it says "Logged in as:". The main content area is titled "Application for a specialised procedure" and contains a green confirmation box with a checkmark: "Your application has been accepted." Below this is a blue information box with an 'i' icon, containing instructions to print, sign, and submit the application form, and a link for missing forms. A sidebar on the left lists navigation options like "Language", "General information", and "Specialised procedure".

BaFin Federal Financial Supervisory Authority
MVP Portal

Logged in as:

Application for a specialised procedure

Language
Deutsch
English

General information
Home
Documentation / Help
Logout

Specialised procedure
Submit report
View journal
Application for a specialised procedure
Cancel specialised procedure

Entered data
Specialised procedure: Filing of Final Terms
Notifying party: Direct notifier
(notifying party is a person/entity subject to the notification requirement or a contact person of such person/entity)

Your application has been accepted.

Please print out the electronic application form, sign it and send it without undue delay to BaFin, enclosing any additional documents required. You will find an overview of the additional documents required at the end of the electronic application form.

Once the written documentation has been received, BaFin will compare the data provided electronically with the documents submitted. In the event of successful verification, BaFin will activate the account for the procedure and inform both the notifying party and the person/entity subject to the notification requirement of the account activation.

If the electronic application form is not displayed, [click here](#).

Please note that you can use the MVP-specialised procedure "Notifications of Major Holdings (Sec. 33 et seq. WpHG)" only after BaFin has admitted your application. Depending on the workload the issuance of the admission may take a couple of days. So please make sure timely application for admission to the specialised procedure in order to be able to submit a notification within the maximum time limit. Please also note that the admission will be issued only after BaFin has received your signed application form. If necessary, the notification can first be submitted via email or telefax.

The confirmation of your admission to the MVP-specialised procedure will be issued electronically via email to the address you provided in the registration process. In this email you will receive your BaFin-ID under which your details from the registration process gets recorded. You will be able to submit notifications of major holdings electronically via BaFin's MVP-specialised procedure "Notifications of Major Holdings (Sec. 33 et seq. WpHG)" only after receipt of BaFin's admission.

For further information on how to submit a notification electronically please refer to the respective information sheet available on our homepage.

Questions and troubles relating to the MVP-registration and -application process can be addressed to: mvp-support@bafin.de.