

Information sheet

Regarding the use of the MVP-filing system „Notifications of Major Holdings (Sec. 33 et seq. WpHG)“

- Submission of an electronic notification of major holdings -

An electronic notification of major holdings under Sec. 33 et seq. of the German Securities Trading Act (WpHG) can be submitted to BaFin on BaFin's Reporting and Publishing Platform (MVP-portal) through the MVP-specialised procedure „Notifications of Major Holdings (Sec. 33 et seq. WpHG)“. After successful submission of the notification through this filing system, the MVP-portal will provide the notification in two electronic formats (pdf-file and xml-file) which shall be used for submitting the notification electronically also to the issuer concerned.¹

Before submitting a notification of major holdings through the MVP-filing system „Notifications of Major Holdings (Sec. 33 et seq. WpHG)“ you have to register on the MVP-portal (Step 1) and to apply for admission to the MVP-filing system (Step 2); for further details on these two steps please refer to the information sheet „Registration and admission to the MVP-filing ‘Notifications of Major Holdings (Sec. 33 et seq. WpHG)’“, available on our homepage.

The present information sheet describes the details on the electronic submission of the notification and, in particular, on the Online-Form available on the MVP-specialised procedure „Notifications of Major Holdings (Sec. 33 et seq. WpHG)“. The Online-Form itself provides for explanation of the entries required in the form and, to the extent reasonably possible, for verifications of completeness of the notification.

As an alternative to using the Online-Form, you may upload or submit via BaFin's SOAP-Web-Service an xml of the notification, generated in accordance with the requirements laid down in the respective mapping document (please see the „Documentation in the creation of notification of major holdings in XML-format“, available on our homepage). For further details on BaFin's SOAP-Web-Service and the technical requirements for uploading the notification in XML-format on the MVP-portal please see the respective user manuals on our homepage.

Please note: It is not possible to submit a draft notification through the MVP-portal. Should you require assistance for filling in the standard form in addition to the support given in the Online-Form and the explanatory documentation, please refer directly to the competent unit within BaFin (via email to marktueberwachung@bafin.de).

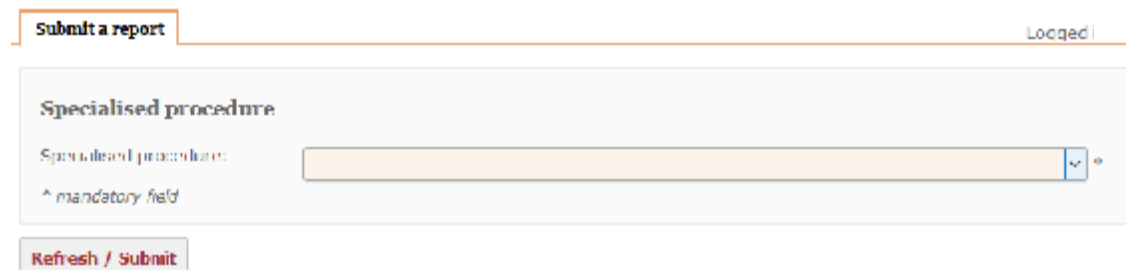
¹ You can test the specialised procedure for submission of an electronic notification if you have a separate admission to the MVP-specialised procedure „TEST_Notifications of Major Holdings (sec. 33 et seq. WpHG)“; you will find further information on how to get the admission to the specialised procedures „Notifications of Major Holdings (sec. 33 et seq. WpHG)“ and the test-environment in the information sheet „Registration and Admission to MVP-filing-system Notifications of Major Holdings“. Please note that by using the test-environment you will not submit a notification of major holdings in a legally binding way. The details described in this information sheet with respect to the specialised procedure „Notifications of Major Holdings (sec. 33 et seq. WpHG)“ do apply in the same way also to the test-environment.

Step 3²: Submission of an electronic notification of voting rights

In order to get directed to the MVP-specialised procedure “Notifications of Major Holdings (sec. 33 et seq. WpHG)”, for which you need an admission by BaFin³, you have to log in on BaFin’s MVP-portal and select „Submit report“.



On the MVP-portal you will see (in the drop-down) all specialised procedures for which you have gotten an admission by BaFin.



Please select (from the drop-down) the MVP specialised procedure „Notifications of Major Holdings (sec. 33 et seq. WpHG)“ (or “TEST_Notifications of Major Holdings (sec. 33 et seq. WpHG)“, if you have gotten a separate admission to the test-environment and if you do not intend to submit a notification under sec. 33 et seq. WpHG in a legally binding way.

You will then be asked to select the „Registered persons / entities subject to the notification requirement“. If you have been registered on the MVP-portal as contact person (representative) of a company, please select the company as „Registered persons / entities“; if you have been registered as „natural person (private individual)“ please select your name. The portal provides (in a drop down) for all registered persons and

² Steps 1 and 2 are described in the information sheet “Registration and admission to the MVP-filing system Notifications of Major Holdings”, available on our homepage.

³ Step 2 as described in the information sheet “Registration and admission to the MVP-filing system Notifications of Major Holdings”, available on our homepage.

entities for which you have gotten an admission to the selected specialised procedure on the MVP-portal.

Please note that the MVP-term „registered persons/ entities subject to the notification requirement“ is not necessarily identical with the person subject to the notification obligation pursuant sec. 33 et seq. WpHG (no. 3 of the standard form); at this stage of the filing process it is relevant to indicate the person/ entity submitting the notification.

In the example given in the description of “Step 1: Registration on MVP as „Registered person/entity“⁴, Mr. T of “T Invest plc” would select „T Invest plc“, Mrs. T „T Lawyers“ and Mr. B himself.

After selecting the registered person/entity you will be requested to select the type of submission. Please select (from the drop-down) “Notification of Major Holdings”:

⁴ see the Information sheet Registration and admission to the MVP-filing system “Notifications of Major Holdings (Sec. 33 et seq. WpHG)”, available on our homepage.

Step 4: Submission of notification via Upload of an XML-file or via Online-Form

After selecting submission of a “Notification of Major Holdings” you are requested to select whether you intend to submit the notification via upload of an xml-file (“Submit XML-report” or by filling in the Online-Form (“Submit form”).

The screenshot shows two distinct sections for submission. The top section, titled "Submit form", contains the text "Please click here to submit your report via a web form:" and a button labeled "Fill in form". The bottom section, titled "Submit XML report", contains the text "In order to submit your report as a XML file please choose the file here:", a file selection input field with a "Durchsuchen..." button, and a "Submit file" button. Below the input field, there is a note: "The requested structure of the XML report depends of the specialised procedure. Please see the documentation for more information."

Step 4.1: Upload of the notification as xml-file

If you select “Submit XML-report” please make sure that your XML-file of the notification is generated in accordance with the instructions given in the respective mapping document “Documentation on the creation of notifications of major holdings (section 33 et seq. of the German Securities Trading Act (Wertpapierhandelsgesetz – WpHG)) in XML format”, available on our homepage). For the upload please also refer to BaFin’s user manual “XML-upload”, available on the MVP-portal (https://www.bafin.de/EN/DieBaFin/Service/MVPportal/MVPportal_node_en.html).

The xml-file can be selected by clicking “Durchsuchen” and submitted by clicking “Submit file”. For the next step please refer to step 5 below.

Step 4.2: Filling in the Online-Form

As an alternative to uploading the notification as xml-file, the MVP provides for an Online-Form of the mandatory standard form for notifications pursuant to Sec. 33 et seq. WpHG which can be submitted to BaFin. The Online-Form contains certain cross-checks of your entries as well as an automated calculation of certain figures, which, to the extent reasonably possible, are deemed to help preventing an incomplete or incorrect notification, i.e:

- Fill-in information pops up, if your cursor triggers the *i*-symbol.
- The Online-Form has to be completed accurately. To the extent reasonably possible, the Online-Form identifies certain inconsistencies or incompleteness of the notification. However, it is not possible to identify any possible inaccuracy of the notification, so please make sure that all entries relevant in your individual case are provided correctly.
- If the Online-Form identifies an incorrectness of the notification, you will either not be able to submit the notification and get a notice of the identified inaccuracy or get asked to double-check your entries.
- Session: The session time is 30 minutes; after 30 minutes of inactivity the entries in the Online-Form will be discarded.
- Due to technical reasons it is not possible to interrupt the fill in-process and save the entries made so far because the MVP-portal does not allow for electronic storage of

data; for the same reason it is also impossible to retrieve information from a previous notification.

In the following overview you will find information on the main functions of the Online-Form and instructions on the required entries; more detailed instructions will soon be provided on our homepage in FAQs relating to the Standard Form of the Notification of Major Holdings.

<p>Headline</p>	<p><input type="checkbox"/> Notification of Major Holdings ⓘ</p> <p>or</p> <p><input type="checkbox"/> Correction ⓘ of a notification of Major Holdings dated <input type="text"/></p>
	<ul style="list-style-type: none"> · Please select "Correction of a notification" if a previous notification shall be replaced or withdrawn. · Relevant modification of the Standard Form: Contrary to the previous version of the mandatory standard form, you are requested to provide date of the notification to be replaced or withdrawn by the correction (and not the date of the publication of the corrected notification), i.e. the date indicated at the end of the previous (corrected) notification.
<p>1.</p>	<p>1. Details of issuer ⓘ</p> <p>Name <input type="text"/></p> <p>Legal Entity Identifier (LEI) <input type="text"/></p> <p>Street, Street number <input type="text"/></p> <p>Postal code <input type="text"/></p> <p>City <input type="text"/></p>
	<ul style="list-style-type: none"> · Relevant modification of the Standard Form: In addition to name and address of the issuer the Legal Entity Identifier (LEI) is required. The LEI is mandatory for all issuers since 2018. The LEI can be found under www.gleif.org (it is recommended to copy and paste the LEI in order to avoid mistakes). If – exceptionally - no LEI is available, you may enter "not available" because the system requires an entry. · Third-Country-Issuers: The Online form does not provide an entry-field for "country" as part of the issuer's details because most issuers are domiciled in Germany. For issuers with domicile outside Germany please provide the country in connection with the City (e.g. Zurich, Switzerland). For issuers domiciled in USA the state should be provided additionally (e.g. Wilmington, Delaware, USA).

<p>2.</p>	<p>2. Reason for notification ⓘ (multiple reasons possible)</p> <p><input type="checkbox"/> Acquisition/disposal of shares with voting rights</p> <p><input type="checkbox"/> Acquisition/disposal of instruments</p> <p><input type="checkbox"/> Change of breakdown of voting rights</p> <p><input type="checkbox"/> Other reason</p> <p><input type="text"/></p> <p><input type="text"/></p>						
	<ul style="list-style-type: none"> • Please indicate the reason(s) for the holding of voting rights and/or instruments triggering one or more relevant threshold(s) by ticking the applicable box(es). • If you select "other reason", a brief description will be required. Some typical cases are provided in the drop-down-list. If none of these reasons is applicable, please choose "other" and add an individual description in the free text field (max. 300 characters). <p><input checked="" type="checkbox"/> Other reason</p> <p>other</p> <p><input type="text"/></p> <ul style="list-style-type: none"> • Please note that for technical reasons you can delete any entry in the free-text-field and delete the ticking of "Other reason" only after you have selected the blank field in the drop-down-list. 						
<p>3.</p>	<p>3. Details of person subject to the notification obligation ⓘ (at least one entry required)</p> <p>Natural persons:</p> <table border="1"> <tr> <td>First name</td> <td>Surname</td> <td>Date of birth</td> </tr> </table> <p>+ Add a line</p> <p>Legal entity:</p> <table border="1"> <tr> <td>Name including legal form (entity)</td> <td>City of registered office ⓘ</td> <td>Country</td> </tr> </table> <p>+ Add a line</p>	First name	Surname	Date of birth	Name including legal form (entity)	City of registered office ⓘ	Country
First name	Surname	Date of birth					
Name including legal form (entity)	City of registered office ⓘ	Country					
	<ul style="list-style-type: none"> • For entering details of the person subject to the notification obligation you first have to add a line (natural person or legal entity) by clicking the +-symbol; multiple entries are possible if, for instance, two or more co-parent undertakings have identical holdings of voting rights and instruments. • Once a line is added, the Online Form requires an entry. It is not possible to leave the added line blank; so if you have added a line mistakenly, you can delete it by clicking the -symbol. • Pursuant to the rules set forth with respect to the specialised procedure "Notifications of Major Holdings (Sec. 33 et seq. WpHG)" the person subject to the notification obligation does not need to be identical with the person registered and admitted to submit a notification through the MVP specialised procedure (for further details please refer to the information sheet "Registration and admission to the MVP-filing 						

	<p>system "Notifications of Major Holdings (Sec. 33 et seq. WpHG)"). Provided the registered person is mandated to do so, he/she may submit a notification also on behalf of another person/entity.</p>
<p>4.</p>	<p>4. Name(s) of shareholder(s) ⓘ holding directly 3% or more voting rights, if different from 3.</p> <p>Name</p> <p>+ Add a line</p>
	<ul style="list-style-type: none"> • An entry in no. 4 is required if the person subject to the notification obligation gets 3% or more voting rights attributed from a third party holding the voting rights directly; in this case please click the + - symbol to make an entry. In case of multiple third parties each party has to be disclosed in a separate line. • If once a line is added, an entry is required. For deleting a line click the - symbol. • If you enter a name in n. 4, but enter subsequently in no. 7.a. under "indirect holding" a figure of less than 3%, the following error message will be displayed: "Please double-check your entries; according to the disclosure under 7. the person subject to the notification obligation gets only less than 3% of voting rights attributed under sec. 34 WpHG." However, you will be still able to submit the notification with the entries made. Please note, that if (in the reverse case) you enter 3% or more in no. 7.a. under indirect holdings, but leave no. 4 blank, no error message will be displayed.
<p>5.</p>	<p>5. Date on which threshold was crossed or reached</p> <p></p>
	<ul style="list-style-type: none"> • Please enter the date on which the notified holding has triggered one or more of the thresholds set forth in sec. 33 et seq. WpHG. In case of a transfer of shares, this is usually the day on which the parties entered into the respective contract, if the contract provides for a settlement within two or three trading days (trade date). If the transfer is made conditionally, the relevant date is either the day on which the last condition has been fulfilled or the settlement date. Until that date, the acquirer of the holding may have to notify an instrument. • An electronic calendar is available for entering the date. Please note that the date must not be a future date.
<p>6.</p>	<p><input type="checkbox"/> Deactivate automatic calculation ⓘ</p>
	<ul style="list-style-type: none"> • By standard all per cent- and sum-entries are calculated automatically. As long as the automatic calculation is not deactivated no entries into these fields are possible. • For the standard automatic calculation the following rules are applied: <ul style="list-style-type: none"> - Per-cent entries are rounded up to two decimal places. - There is no rounding and the decimal places do not get cut off if the result would show reaching of a threshold (as set forth in sec. 33 et seq. WpHG). However, this rule applies only with respect to the

sums. Accordingly it is possible that for the single position a rounded number is displayed, whereas the sum reflects a non-rounded number, e.g.:

7. Notified details of the resulting situation

a. Voting rights attached to shares (Sec. 33, 34 WpHG)

ISIN	absolute		in %	
	direct (Sec. 33 WpHG)	indirect (Sec. 34 WpHG)	direct (Sec. 33 WpHG)	indirect (Sec. 34 WpHG)
	100.000	49.990	10,00	5,00
Total	149.990		14,999	%

If you prefer a more accurate calculation, please disable the automatic calculation and fill in the more accurate figures.

- **Automatic calculation can be disabled** by ticking the box next to the headline of no. 6.: Deactivate automatic calculation. Thereinafter, you can overwrite all entries in the automatically calculated fields.
- You **have to disable the automatic calculation** and to overwrite the entries, if the automatic calculation leads to incorrect entries, as for instance in the case of not permitted aggregations of holdings (e.g. if instruments refer to voting rights, which are already attributed under sec. 34 WpHG). Please make a reference in no. 10 in this case.
- Please note that after deactivation of the automatic calculation all automatic calculations are disabled; however, entries already made automatically will not be deleted. Thus, you may need to overwrite not only one entry, but all entries referring to the one overwritten entry.
- If you re-activate the automatic calculation (by deleting the respective tick) all manually entered numbers will be overwritten by the automatically calculated numbers. So please make sure that if you wish to overwrite certain figures you deactivate the automatic calculation only at the end of your entries and leave it deactivated for submission of the notification.

6.

6. Total positions Deactivate automatic calculation

	% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1. + 7.b.2.)	Total of both in % (7.a. + 7.b.)	Total number of voting rights pursuant to Sec. 41 WpHG
New	0,00 %	0,00 %	0,00 %	
Previous notification (if applicable)				-

- Please enter at first the total number of voting rights of the issuer (published by the issuer pursuant to Sec. 41 WpHG) as issued on the date on which the threshold was crossed or reached. If you have knowledge of a more accurate number of voting rights different from the number at last published by the issuer according to Sec. 41 WpHG, please enter this more accurate number. The total number of voting





rights of the issuer may differ from its total outstanding share capital if the issuer has issued non-voting shares. The total number of voting rights as entered under no. 6 herein is the denominator for the automatic calculation of all percentages.


- Unless you want to overwrite the automatically calculated figures entered in no. 6, no other entry is required in the first line "resulting situation".
- In the line "Previous notification" please enter the holdings as disclosed in your previous notification, even if these numbers changed in the meanwhile. From comparing with your new holdings the market will get the information which threshold(s) the notified shareholdings have crossed. In case that the current notification is the initial notification please enter "n/a" in each of the entry fields for the previous notification.

7.a.


7. Notified details of the resulting situation



a. Voting rights attached to shares (Sec. 33, 34 WpHG)

ISIN 	absolute 		in % 	
	direct (Sec. 33 WpHG)	indirect (Sec. 34 WpHG)	direct (Sec. 33 WpHG)	indirect (Sec. 34 WpHG)
<input type="text"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0,00"/>	<input type="text" value="0,00"/>
 Add a line				
Total	<input type="text" value="0"/>		<input type="text" value="0,00"/>	<input type="text" value="0,00"/>

- If you use the automatic calculation you will have to enter only the absolute number(s) of voting rights in 7.a. which are held directly and indirectly by the notifiable person. If no entry is made, the system will calculate with "0".
- If voting rights with different ISINs are to be disclosed or if a notification shall be submitted for more than one notifiable person (e.g. in case of joint-control by parent undertakings), you can add a line by clicking the -symbol.
- If you want to delete an entry, you will have to enter "0", because due to technical reasons the field cannot be left blank and a "0" is not again entered automatically.

7.b.1.
and
7.b.2.

b.1. Instruments according to Sec. 38 (1) no. 1 WpHG 

Type of instrument	Expiration or maturity date	Exercise or conversion period	Voting rights absolute	Voting rights in % 
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="0"/>	<input type="text" value="0,00"/>
 Add a line				
Total			<input type="text" value="0"/>	<input type="text" value="0,00"/>

The following information is given for no. 7.b.1. as well as for no. 7.b.2.:


- A part from the details requested with respect to the notified instruments, you have to enter only the absolute numbers; the relevant percentages will be calculated automatically. For deactivation of the

automatic calculation please refer to the information provided above (re. "Deactivate automatic calculation").

- The Online-Form does not provide for an attachment even if you notify more than five instruments; instead you have to expand the table by adding lines. Please note, that you can notify instruments of the same type in a combined way.

8.

8. Information in relation to the person subject to the notification obligation
(please tick the applicable box)

- Person subject to the notification obligation (3.) is not controlled nor does it control any other undertaking(s) holding directly or indirectly an interest in the (underlying) issuer (1.).
- Full chain of controlled undertakings starting with the ultimate controlling natural person or legal entity (in case of more than 4 please always provide only to BaFin also an organizational chart). 


Upload of organisational chart: 

The filename may contain only characters from a/A to z/Z or one of the characters "_", "." or "-". The maximum length is 50 characters. Blanks or umlauts may not be used.


Name	% of voting rights (if at least held 3% or more)	% of voting rights through instruments (if at least held 5% or more)	Total of both (if at least held 5% or more)
------	--------------------------------------------------	----------------------------------------------------------------------	---------------------------------------------

 Add a line

- In case the person subject to the notification obligation is part of a group of companies, you have to add information with respect to each chain of controlled undertakings holding the relevant votings rights or instruments. In this case please tick the box "Full chain..." and add as many lines as you may need to enter all relevant affiliates starting with the ultimate controlling entity. If the shares/ instruments are held through more than one chain of controlled undertakings, please enter each chain by starting with the ultimate parent undertaking and leave one line blank before starting with another chain of controlled undertakings.
- Due to technical reasons the field "name" in the added line of controlled undertakings cannot be left blank. Therefore the system always provides for a dash ("-"), which can be overwritten anytime.
- If you enter into the table a percentage which is smaller than 3% and/or 5% respectively, you will get the information that the entered value is out of the valid range. Please note, that any number can be entered only with two decimal places (irrespective of whether the automatic calculation is disabled or not); as a consequence it may not be possible under no. 8 to indicate the holding with maximum accuracy; maximum accuracy is, however, possible and required in no. 6 (current holding).
- If the group consists of more than four affiliates, you are requested to upload an organisational chart; the chart must *not* be submitted also to the issuer, but only to BaFin.

Upload of organisational chart: 

The filename may contain only characters from a/A to z/Z or one of the characters "_", "." or "-". The maximum length is 50 characters. Blanks or umlauts may not be used.

- By clicking the -symbol you will be able to upload your chart. The system allows only pdf-files. Please also consider the requirements regarding the file name.

9. In case of proxy voting according to Sec. 34 (3) WpHG
(only in case of attribution of voting rights in accordance with Sec. 34 (1) sent. 1 no. 6 WpHG)

Date of general meeting

Total positions (6.) after general meeting

% of voting rights attached to shares	% of voting rights through instruments	Total of both
<input type="text"/> %	<input type="text"/> %	<input type="text"/> %

- Entries in no. 9 are required only in the special case of a proxy for a general meeting pursuant to sec. 34 para. 3 WpHG. In this case you will have to enter the percentages of the notified holdings relating also to instruments and the sum of both. Please note that there is no automatic calculation.

10. Other useful information



- If you make an entry in no. 10 (max. 400 characters), please note that this information will be part of the publication of the notification.

Date,

- The current date is preset, but you can overwrite this date by using the electronic calendar.

Signature 

- Please enter the full name of the person taking responsibility for the content and the submission of the notification, which can be the Notifiable Person or the person authorised by the notifiable person or by law.
- The entry must be in the form of electronic characters and start with the first name followed by the surname of the respective person; please do not try to paste in a graphic picture of the handwritten "signature".

<p>Annex (only for BaFin)</p>	<p>1. Identity of the person subject to the notification obligation</p> <p>Street <input type="text"/></p> <p>Street number <input type="text"/></p> <p>Postal code <input type="text"/></p> <p>City <input type="text"/></p> <p>Country <input type="text" value="▼"/></p> <p>In case of legal entities: <input type="checkbox"/> registered office <input type="checkbox"/> business address</p> <p>Contact person <input type="text"/></p> <p>Phone number  <input type="text"/></p> <p>Fax number <input type="text"/></p> <p>E-mail <input type="text"/></p>
	<ul style="list-style-type: none"> · Please provide details on the address of the notifiable person. For technical reasons it is not possible to make automatic entries of information given in previous notifications or available from your MVP-data. Therefore, you have to make these entries again when you make a following notification by using the Online-Form. · For the contact person please provide the full name and at least one contact media (phone, fax or email) which BaFin can use to contact the respective person.
	<p>2. Identity of notifier (if different from 1.)</p> <p>Name <input type="text"/></p> <p>Company <input type="text"/></p> <p>Street <input type="text"/></p> <p>Street number <input type="text"/></p> <p>Postal code <input type="text"/></p> <p>City <input type="text"/></p> <p>Country <input type="text"/></p> <p>Phone number  <input type="text"/></p> <p>Fax number <input type="text"/></p> <p>E-mail <input type="text"/></p>
	<ul style="list-style-type: none"> · Please provide details on the address of the notifying person if different from the person subject to the notification obligation. For technical reasons it is not possible to make automatic entries of information given in previous notifications or available from your MVP-data. Therefore, you have to make these entries again when you make a following notification by using the Online-Form. · Please provide the full name of the notifying person and the requested address details and at least one contact media (phone, fax or email) which BaFin can use to contact the notifying person

	3. Other useful information
	<p>If you make an entry in no. 10 (max. 1,600 characters), this information will not be available for the issuer and will <i>not</i> be part of the publication of the notification.</p>

At the end of the Online-Form you will be able to submit the notification by selecting:

Send Notification

In cases of errors or incomplete information in the Online-Form you will receive an according notice at the top of the Online-Form; the relevant sections will be marked. If you are not able to solve the problems, please refer to BaFin's support-section by using the email-address: stimmrechte-support@bafin.de.

Please note that it is not possible to print the completed notification at the end of your entries or to save (on your device) a pdf of the filled in Online Form. However, once the notification has been submitted you will (after a couple of minutes) find in your MVP-account at "View Journal" a ZIP-File containing a pdf of the notification and the notification in XML-format (see Step 5).

If the notification has been submitted successfully, you will receive the following notice:

Notification of Major Holdings (sec. 33 et seq. WpHG)



Notification of Major Holdings

The form has been successfully submitted. You may close it now.

Case has been filed: 23.07.2018 08:42:43

The ID of your notification:

106008

Step 5: Copy of notification for documentation and submission to issuer

Shortly after submitting the notification you can track the filing process under "View journal" in your MVP-account:

The screenshot shows the BaFin MVP Portal interface. The left sidebar contains a menu with the following items: 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), and User account. The main content area displays a welcome message and contact information for the support team.

In your journal a list of all submitted notifications will be displayed:

The screenshot shows the 'View journal' page with a filter section and a table of notifications. The filter section includes fields for Date of report from/to, Specialised procedure, Person/entity subject to the notification requirement, Status, Filename, and Client reference. The table below lists two notifications with their respective details and feedback files.

ID	Date of report	Specialised procedure	Submission	Person/entity subject to the notification requirement	Client reference	Reporting channel	Filename	Status
104594	20/05/2018 14:21:16	Notification of significant voting rights (sec. 33 et seq. WpStG)	Notification of significant voting rights	COMMERZBANK Aktiengesellschaft, Frankfurt am Main		Web form	Feedback_104594.zip (219, 17 KB)	Report accepted
104554	16/05/2018 11:19:46	Notification of significant voting rights (sec. 33 et seq. WpStG)	Notification of significant voting rights	COMMERZBANK Aktiengesellschaft, Frankfurt am Main		Web form	Feedback_104554.zip (219, 18 KB)	Report accepted

Under "status" you will be informed about the filing progress starting with „Report submitted“. Once the notification will have been submitted successfully the status will switch to "Report accepted" (it may be useful to click the "refresh"-button in order to see the updated status). At the same time a zip-file ("feedback_...") is provided containing

the notification as pdf-file and as xml-file. If you open the zip-file, the two files will be displayed:

Name	Typ	Komprimierte Größe	Kenworte...	Größe	Verhältnis	Änderungsdatum
NotificationOfMajorHoldings_104548	PDF Document	19 KB	Nein	22 KB	15%	11.05.2018 07:54
NotificationOfMajorHoldings_104548	XML-Dokument	1 KB	Nein	4 KB	71%	11.05.2018 07:54

The pdf and the xml of the notification provided in the ZIP-file are intended to be used by the person subject to the notification obligation for submission of the notification also to the issuer; these two files do therefore neither comprise the Annex of the notification not the organizational chart, if one has been uploaded. The zip-file should be downloaded and saved locally. The time stamps of the files correlate approximately with the point in time BaFin has received your notification.

As regards the **submission of the notification to the issuer**, please note that according to the applicable ordinance-provisions (StimmRMV) it is not sufficient to submit the notification to the issuer only as “readable” version *or* only as xml-file; instead, the person subject to the notification obligation shall submit to the issuer always both versions of the electronic notification.

The StimmRMV does not provide for specific requirements on *how* to submit a notification electronically to the issuer. However, the lack of specific legal provisions in this regard does not prevent the issuer from setting up its requirements for receipt of notifications in electronic format (e.g. submission of both files via an electronic portal on the issuer’s homepage or by indication of a specific Email-address of the issuer dedicated for receipt of electronic notifications). If the issuer has not provided for a specific submission process or specified one special email-address for receipt of electronic notification, it shall be admissible that the notifiable person submits the notification by using the email-address determined for general electronic communication (e.g. email-address from “Legal info” of the issuer’s homepage).