

**Documentation on the creation of EFT reports
in XML format**

Documentation and instructions

Last amended 18 July 2019

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1 Introduction

The Federal Financial Supervisory Authority (*Bundesanstalt für Finanzdienstleistungsaufsicht* – BaFin) provides three different reporting channels for the electronic filing of final terms of the offer:

- (1) Submitting the report manually using a form on the "Reporting and Publishing Platform (MVP Portal)".
- (2) Uploading an XML file via the MVP Portal.
- (3) Uploading a report via the SOAP web service.

If reporting channel (2) or (3) is used, there are strict requirements regarding the format of the files to be transmitted. These requirements are specified by means of an XML Schema Definition (XSD). Reporting companies can access the key XSD file for the purposes of this document via the following URL:

<https://portal.mvp.bafin.de:444/services/ws/eft.xsd3.xsd>

This XSD specification must be taken into consideration when an XML-format report is created and also when the web service is used. The following documentation is provided as guidance.

When a report is submitted through the SOAP web service, the XML block specified by means of the above-mentioned XSD file is embedded in a SOAP message. The document [MVP-SOAP] referred to in the following section provides information on the form of this embedding. No further details are provided here.

1.1 Relevant documents

- [MVP-XML]: "Reporting and Publishing Platform (MVP Portal) – XML Upload"
- [MVP-SOAP]: "Reporting and Publishing Platform (MVP Portal) – SOAP Web Service"

[MVP-XML] and [MVP-SOAP] provide general information on how to upload an XML file and on the use of web services to submit reports. These are available in the "MVP Portal" section of BaFin's website, under "Manuals".

2 Overview

For the specialised procedure "Filing of final terms of the offer" you will be able to electronically file the final terms of the offer as well as request the communication/cancellation of the communication of already filed final terms of the offer to other supervisory authorities.

The following types of reports can be filed:

- Filing pursuant to section 6 (3) sentence 3 of the WpPG
- Filing pursuant to Article 8(5) of the Prospectus Regulation
- Communication pursuant to section 6 (3) sentence 4 of the WpHG
- Communication pursuant to Article 25(4) of the Prospectus Regulation
- Cancellation of a communication pursuant to section 6 (3) sentence 4 of the WpPG
- Cancellation of a communication pursuant to Article 25(4) of the Prospectus Regulation

For each type of report there is a specific web form (see screenshot below).

Bundesanstalt für
Finanzdienstleistungsaufsicht
MVP Portal

Meldung einreichen

Fachverfahren

Fachverfahren: *

* Pflichtfeld [Auswahl ändern](#)

Vorhandene Emittenten

Emittent: *

* Pflichtfeld [Auswahl ändern](#)

Einreichung

Einreichung:

* Pflichtfeld

[Aktualisieren](#)

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In the form view, each of these web forms is shown as a list of sections. Details with a common context are bundled together within each of these sections. The sections are as follows:

- Details of the issuer
- Details of the final terms of the offer
- Communication to host supervisors or
Cancellation of host supervisors
- File upload

Information on the issuer is inserted automatically into the form and cannot be altered.

Due to the particular way in which data is represented in XML format, the data transmitted via XML or using the web service are divided into six different basic elements for EFT reports:

1. eftMeldung
2. eftMeldungNotif
3. eftMeldungNotifCancel
4. reportFiling
5. reportCommunication
6. reportCommunicationCancel

Only the first three basic elements have subordinated elements (also called child elements) containing issuer data. The last three basic elements, which have been added in the latest version of the XSD files, do not have child elements.

To aid understanding of the XML format, screenshots of the implemented German-language reporting form will be provided in the remainder of this documentation.

3 General XML structure for a report

The previous chapter provided an overview of the report contents. This chapter now shows how this general structure is represented in XML format.

Any reference to "types" in this document relates to the types used in the XSD files provided for this procedure, i.e. type definitions such as

```
<xsd:simpleType> ... </xsd:simpleType>
```

or

```
<xsd:complexType> ... </xsd:complexType>
```

However, in the XML examples the element names rather than the type names are provided throughout.

The relevant type information for the XSD files must be taken into consideration for the end nodes of the XML structure, i.e. the elements which are filled with the actual content (text, numbers, times etc.). These are mentioned in this document for greater clarity only.

In the following, "eft" is used as a namespace code for the types that can be used for an EFT report.

3.1 Basic elements of an XML-based EFT report

As described above, XML-based EFT reports can have six different basic elements. The different basic elements and the corresponding element types are described below.

3.1.1 Basic element *eftMeldung*

For the **Filing pursuant to section 6 (3) sentence 3 of the WpPG** report or submission, the basic element designated as **eftMeldung** is to be used. The type of this basic element is **eftMeldungHinterlegungType**.

```
<eftMeldung xmlns:eft="http://www.bafin.de/mvp/eft/">  
  <!-- content of the report in XML format. -->  
</eftMeldung>
```

All further details are provided within the description of the structure of the `<eftMeldung>` element.

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3.1.2 Basic element *eftMeldungNotif*

For the **Filing pursuant to section 6 (3) sentence 4 of the WpPG** submission, the basic element designated as **eftMeldungNotif**, type **eftMeldungMitteilungType**, is to be used.

```
<eftMeldungNotif xmlns:eft="http://www.bafin.de/mvp/eft/">  
  <!-- content of the report in XML format. -->  
</eftMeldungNotif>
```

All further details are provided as part of the description of the structure of the `<eftMeldungNotif>` element.

3.1.3 Basic element *eftMeldungNotifCancel*

For the **Cancellation of a communication pursuant to section 6 (3) sentence 4 of the WpPG** type of notification, the basic element designated as **eftMeldungNotifCancel** is to be used. The type of this basic element is **eftMeldungHinterlegungType**.

```
<eftMeldungNotifCancel xmlns:eft="http://www.bafin.de/mvp/eft/">  
  <!-- content of the report in XML format. -->  
</eftMeldungNotifCancel>
```

All further details are provided as part of the description of the structure of the `<eftMeldungNotifCancel>` element.

3.1.4 Basic element *reportFiling*

For the **Filing pursuant to Article 8(5) of the Prospectus Regulation** submission, the basic element designated as **reportFiling**, type **reportFilingType**, is to be used.

```
<reportFiling xmlns:eft="http://www.bafin.de/mvp/eft/">  
  <!-- content of the report in XML format. -->  
</reportFiling>
```

All further details are provided as part of the description of the structure of the `<reportFiling>` element.

3.1.5 Basic element *reportCommunication*

For the **Communication pursuant to Article 25(4) of the Prospectus Regulation** report, the basic element designated as **reportCommunication** is to be used. The type of this basic element is **reportCommunicationType**.

```
<reportCommunication xmlns:eft="http://www.bafin.de/mvp/eft/">
```

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```
<!-- content of the report in XML format. -->  
</reportCommunication>
```

All further details are provided as part of the description of the structure of the `<reportCommunication>` element.

3.1.6 Basic element *reportCommunicationCancel*

For the **Cancellation of a communication pursuant to Article 25(4) of the Prospectus Regulation** report, the basic element designated as `reportCommunicationCancel` is to be used. The type of this basic element is `reportCommunicationType`.

```
<reportCommunicationCancel xmlns:eft="http://www.bafin.de/mvp/eft/">  
  <!-- content of the report in XML format. -->  
</eftMeldungNotifCancel>
```

All further details are provided as part of the description of the structure of the `<reportCommunicationCancel>` element.

3.2 Overview: content structure of EFT reports

For EFT reports, six different types of submissions are available, each of which has their own basic element in XML. These basic elements are as follows:

1. eftMeldung
2. eftMeldungNotif
3. eftMeldungNotifCancel
4. reportFiling
5. reportCommunication
6. reportCommunicationCancel

In the following, the structure within these basic elements is described in greater detail.

3.2.1 Structure within the basic element "eftMeldung"

The above-mentioned `<eftMeldung>` element contains the following subordinated elements:

```
<eftMeldung xmlns:eft="http://www.bafin.de/mvp/eft/">
  <eft:emittent>
    <!-- details of the issuer -->
  </eft:emittent>
  <eft:basisprospekt>
    <!-- details of the base prospectus -->
  </eft:basisprospekt>
  <eft:angebot>
    <!-- details of the final terms of the offer -->
  </eft:angebot>
  <eft:wpListe>
    <!-- ISIN list containing 1 to 1,000 ISIN entries -->
  </eft:wpListe>
  <eft:aufnahmestaatListe>
    <!-- list of host member states containing 1 to 30 entries -->
  </eft:aufnahmestaatListe>
  <eft:sprache>
    <!-- optional: language code using ISOLanguageCodeType -->
  </eft:sprache>
  <eft:schemaVersion>
    <!-- optional: decimal schemaVersion -->
  </eft:schemaVersion>
</eftMeldung>
```

In the form view, this appears as shown below, with the company name and BAK number being preset. These details are transmitted during submission of these reports via XML.

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Angaben zum Emittenten

BaFin-ID	<input type="text" value="10100005"/>
Emittent Name	<input type="text" value="COMMERZBANK Aktiengesellschaft"/>

When shown in XML, the data preset in the form appear as follows:

```
<eft:emittent>  
  <!-- details of the issuer -->  
  <eft:bafinId>  
    <!-- eight-digit number -->  
  </eft:bafinId>  
  <eft:name>  
    <!-- string -->  
  </eft:name>  
</eft:emittent>
```

The next section of the form shows the details of the base prospectus.

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text"/>

```
<eft:basisprospekt>  
  <!-- details of the base prospectus -->  
  <eft:prospektId>  
    <!-- number (unsigned integer) -->  
  </eft:prospektId>  
  <eft:datumProspekt>  
    <!-- date, e.g. 2018-09-05+02:00 -->  
  </eft:datumProspekt>  
</eft:basisprospekt>
```

In the form, this section is followed by the details of the final terms of the offer.

Seriennummer	<input type="text"/>
Wertpapierart *	<input type="text"/>
Datum der endg. Angebotsbedingungen *	<input type="text"/>
Ausschließliche Zulassung des Wertpapiers	<input type="checkbox"/>
Datum des Angebotsbeginns *	<input type="text"/>
Datum des geplanten Endes des Angebots	<input type="text"/>
Datum der Veröffentlichung	<input type="text"/>
Ort der Veröffentlichung	<input type="text"/>
Sprache der endg. Angebotsbedingungen *	<input type="text"/>
<input type="checkbox"/> Aufstockung <input type="checkbox"/> Ersetzung <input type="checkbox"/> Fortführung des öffentl. Angebots <input type="checkbox"/> Korrektur	

```
<eft:angebot>
```

```
<!--optional:-->
<eft:seriennummer?</eft:seriennummer>
<eft:wpArt?</eft:wpArt>
<eft:datumBedingung?</eft:datumBedingung>

  <!-- selection in accordance with checkbox „admission“ -->
<eft:datumZulassung?</eft:datumZulassung>
<eft:datumBeginn?</eft:datumBeginn>
<!--optional:-->
<eft:datumEnde?</eft:datumEnde>

<!--optional:-->
<eft:veroeffentlichung>
  <eft:datumVeroeff?</eft:datumVeroeff>
  <eft:mediumVeroeff?</eft:mediumVeroeff>
</eft:veroeffentlichung>

<eft:spracheAngebot?</eft:spracheAngebot>

<!-- select checkboxes „increase of issue“ etc. -->
<eft:aufstockung?</eft:aufstockung>
<eft:ersetzung?</eft:ersetzung>
<eft:fortfuehrung?</eft:fortfuehrung>
<eft:korrektur?</eft:korrektur>
<eft:korrekturgrund?</eft:korrekturgrund>

</eft:angebot>
```

A single ISIN or an ISIN list may be entered in the following part of the form.

ISIN einzeln	<input type="text"/>
ISIN Sammeleingabe	<input type="text"/> <i>(max. 1000, jeweils durch Komma getrennt)</i>
Anzahl der ISIN in der Sammeleingabe	<input type="text"/>

In XML, the data will appear as follows:

```
<eft:wpListe>
  <!-- list containing 1 to 1,000 entries -->
  <eft:isin?</eft:isin>
</eft:wpListe>
```

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In the following part of the form, the host supervisor is to be entered.



See below for the corresponding XML structure:

```
<eft:aufnahmestaatListe>
  <!-- list containing 1 to 30 entries -->
  <eft:aufnahmestaat>?</eft:aufnahmestaat>
</eft:aufnahmestaatListe>
```

The following optional elements may be added:

```
<!--optional:-->
<eft:sprache>?</eft:sprache>
<!--optional:-->
<eft:schemaVersion>?</eft:schemaVersion>
```

In the form this is followed by the file upload section.

Bitte laden Sie ein PDF mit den endgültigen Angebotsbedingungen hoch.

Hinweis: Um eine Datei hochzuladen klicken Sie bitte auf das Büroklammer-Symbol in der Aktionsleiste am oberen Bildschirmrand. Es öffnet sich ein Bildschirm, der das Hochladen einer Datei erlaubt.

In XML this is reflected by the element "pdfDocument", which comes after the basic element "eftMeldung".

```
<pdfDocument>
  <!-- The PDF document is entered here as a base64-encoded character
  string. See [MVP-XML]. -->
</pdfDocument>
```

The PDF file itself is inserted as a base64-encoded character string in the <pdfDocument> element. For further information on file uploads in XML-based reports, please refer to the documentation provided in [MVP-XML].

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3.2.2 Structure within the basic element "eftMeldungNotif"

The above-mentioned `<eftMeldungNotif>` element contains the following subordinated elements:

```
<eftMeldungNotif xmlns:eft="http://www.bafin.de/mvp/eft/">
  <eft:emittent>
    <!-- details of the issuer -->
  </eft:emittent>
  <eft:basisprospekt>
    <!-- details of the base prospectus -->
  </eft:basisprospekt>
  <eft:angebot>
    <!-- details of the final terms of the offer -->
  </eft:angebot>
  <eft:wpListe>
    <!-- ISIN list containing 1 to 1,000 ISIN entries -->
  </eft:wpListe>
  <eft:aufnahmestaatListe>
    <!-- list of host member states containing 1 to 30 entries -->
  </eft:aufnahmestaatListe>
  <eft:sprache>
    <!-- optional: language code using ISOLanguageCodeType -->
  </eft:sprache>
  <eft:schemaVersion>
    <!-- optional: decimal schemaVersion -->
  </eft:schemaVersion>
</ eftMeldungNotif>
```

In the form view, this appears as shown below, with the company name and BAK number being preset. These details are transmitted during submission of these reports via XML.

Angaben zum Emittenten

BaFin-ID	<input type="text" value="10100005"/>
Emittent Name	<input type="text" value="COMMERZBANK Aktiengesellschaft"/>

When shown in XML, the data preset in the form appear as follows:

```
<eft:emittent>
  <!-- details of the issuer -->
  <eft:bafinId>
    <!-- eight-digit number -->
  </eft:bafinId>
  <eft:name>
    <!-- string -->
  </eft:name>
</eft:emittent>
```

The next section of the form shows the details of the base prospectus.

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text"/>

```
<eft:basisprospekt>
  <!-- details of the base prospectus -->
  <eft:prospektId>
    <!-- number (unsigned integer) -->
  </eft:prospektId>
  <eft:datumProspekt>
    <!-- date, e.g. 2018-09-05+02:00 -->
  </eft:datumProspekt>
</eft:basisprospekt>
```

In the form, this section is followed by the details of the final terms of the offer.

Bitte beachten Sie, dass die Beantragung einer Mitteilung bereits hinterlegter endgültiger Angebotsbedingungen an andere nationale Aufsichtsbehörden frühestens einen Werktag nach Hinterlegung der endgültigen Angebotsbedingungen möglich ist.

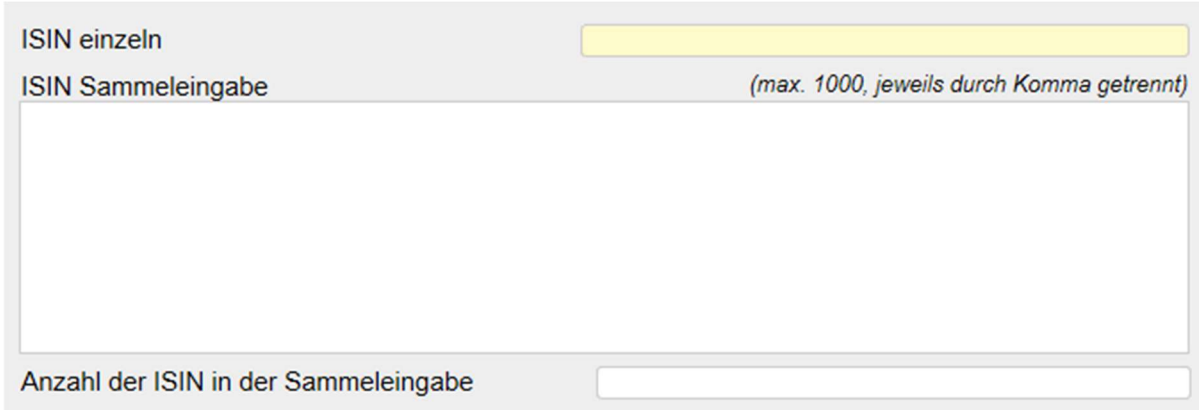
Angaben zu den endgültigen Angebotsbedingungen

ID des zugehörigen Basisprospekts *	<input type="text"/>		
Datum des zugehörigen Basisprospekts *	<input type="text"/>		
Seriennummer	<input type="text"/>		
Datum der endgültigen Angebotsbedingungen *	<input type="text"/>		
<input type="checkbox"/> Aufstockung	<input type="checkbox"/> Ersetzung	<input type="checkbox"/> Fortführung des öffentl. Angebots	<input type="checkbox"/> Korrektur
ISIN einzeln	<input type="text"/>		
ISIN Sammeleingabe	<input type="text"/>		
<i>(max. 1000, jeweils durch Komma getrennt)</i>			
Anzahl der ISIN in der Sammeleingabe	<input type="text"/>		

```
<eft:angebot>
  <!--optional:-->
  <eft:seriennummer>?</eft:seriennummer>
  <eft:wpArt>?</eft:wpArt>
  <eft:datumBedingung>?</eft:datumBedingung>
  <!-- select checkboxes „increase of issue“ etc. -->
  <eft:aufstockung>?</eft:aufstockung>
  <eft:ersetzung>?</eft:ersetzung>
  <eft:fortfuehrung>?</eft:fortfuehrung>
  <eft:korrektur>?</eft:korrektur>
  <eft:korrekturgrund>?</eft:korrekturgrund>
</eft:angebot>
```

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A single ISIN or an ISIN list may be entered in the following part of the form.



The form contains two input fields. The first is a single-line text box labeled 'ISIN einzeln' with a yellow background. The second is a larger multi-line text box labeled 'ISIN Sammeleingabe' with a note '(max. 1000, jeweils durch Komma getrennt)'. Below the multi-line box is a text box labeled 'Anzahl der ISIN in der Sammeleingabe'.

In XML, the data will appear as follows:

```
<eft:wpListe>  
  <!-- list containing 1 to 1,000 entries -->  
  <eft:isin>?</eft:isin>  
</eft:wpListe>
```

In the following part of the form, the host supervisor is to be entered.



The form section is titled 'Mitteilung an Aufnahmestaatbehörden' with a subtitle 'Um einen weiteren Staat hinzuzufügen klicken Sie bitte auf das '+' - Symbol links; zum Entfernen das '-' - Symbol'. It contains two dropdown menus, each labeled 'Aufnahmestaatbehörde von'. The first dropdown is currently set to 'Belgien'. To the left of the dropdowns are three circular buttons: a minus sign, another minus sign, and a plus sign.

See below for the corresponding XML structure:

```
<eft:aufnahmestaatListe>  
  <!-- list containing 1 to 30 entries -->  
  <eft:aufnahmestaat>?</eft:aufnahmestaat>  
</eft:aufnahmestaatListe>
```

The following optional elements may be added:

```
<!--optional:-->  
<eft:sprache>?</eft:sprache>  
<!--optional:-->  
<eft:schemaVersion>?</eft:schemaVersion>
```

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In the form this is followed by the file upload section.

Bitte laden Sie ein PDF mit den endgültigen Angebotsbedingungen hoch.

Hinweis: Um eine Datei hochzuladen klicken Sie bitte auf das Büroklammer-Symbol in der Aktionsleiste am oberen Bildschirmrand. Es öffnet sich ein Bildschirm, der das Hochladen einer Datei erlaubt.

In XML this is reflected by the element "pdfDocument", which comes after the basic element "eftMeldungNotif".

```
<pdfDocument>
  <!-- The PDF document is entered here as a base64-encoded character
  string. See [MVP-XML]. -->
</pdfDocument>
```

The PDF file itself is inserted as a base64-encoded character string in the <pdfDocument> element. For further information on file uploads in XML-based reports, please refer to the documentation provided in [MVP-XML].

3.2.3 Structure within the basic element "eftMeldungNotifCancel"

The above-mentioned <eftMeldungNotifCancel> element contains the following subordinated elements:

```
<eftMeldungNotifCancel xmlns:eft="http://www.bafin.de/mvp/eft/">
  <eft:emittent>
    <!-- details of the issuer -->
  </eft:emittent>
  <eft:basisprospekt>
    <!-- details of the base prospectus -->
  </eft:basisprospekt>
  <eft:angebot>
    <!-- details of the final terms of the offer -->
  </eft:angebot>
  <eft:wpListe>
    <!-- ISIN list containing 1 to 1,000 ISIN entries -->
  </eft:wpListe>
  <eft:aufnahmestaatListe>
    <!-- list of host member states containing 1 to 30 entries -->
  </eft:aufnahmestaatListe>
  <eft:sprache>
    <!-- optional: language code using ISOLanguageCodeType -->
  </eft:sprache>
  <eft:schemaVersion>
    <!-- optional: decimal schemaVersion -->
  </eft:schemaVersion>
</eftMeldungNotifCancel>
```


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In the form view, this appears as shown below, with the company name and BAK number being preset. These details are transmitted during submission of these reports via XML.

Angaben zum Emittenten

BaFin-ID	<input type="text" value="10100005"/>
Emittent Name	<input type="text" value="COMMERZBANK Aktiengesellschaft"/>

When shown in XML, the data preset in the form appear as follows:

```
<eft:emittent>  
  <!-- details of the issuer -->  
  <eft:bafinId>  
    <!-- eight-digit number -->  
  </eft:bafinId>  
  <eft:name>  
    <!-- string -->  
  </eft:name>  
</eft:emittent>
```

The next section of the form shows the details of the base prospectus.

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text"/> 

```
<eft:basisprospekt>  
  <!-- details of the base prospectus -->  
  <eft:prospektId>  
    <!-- number (unsigned integer) -->  
  </eft:prospektId>  
  <eft:datumProspekt>  
    <!-- date, e.g. 2018-09-05+02:00 -->  
  </eft:datumProspekt>  
</eft:basisprospekt>
```

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In the form, this section is followed by the details of the final terms of the offer.

Bitte beachten Sie, dass die Beantragung einer Rücknahme einer Mitteilung bereits hinterlegter endgültiger Angebotsbedingungen an andere nationale Aufsichtsbehörden frühestens einen Werktag nach Hinterlegung bzw. nach Beantragung der Mitteilung der endgültigen Angebotsbedingungen möglich ist.

Angaben zu den endgültigen Angebotsbedingungen

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text"/>
Seriennummer	<input type="text"/>
Datum der endgültigen Angebotsbedingungen *	<input type="text"/>
<input type="checkbox"/> Aufstockung	<input type="checkbox"/> Ersetzung
<input type="checkbox"/> Fortführung des öffentl. Angebots	<input type="checkbox"/> Korrektur
ISIN einzeln	<input type="text"/>
ISIN Sammeleingabe	<input type="text"/>
<small>(max. 1000, jeweils durch Komma getrennt)</small>	
Anzahl der ISIN in der Sammeleingabe	<input type="text"/>

```
<eft:angebot>
  <!--optional:-->
  <eft:seriennummer?</eft:seriennummer>
  <eft:wpArt?</eft:wpArt>
  <eft:datumBedingung?</eft:datumBedingung>
  <!-- select checkboxes „increase of issue“ etc. -->
  <eft:aufstockung?</eft:aufstockung>
  <eft:ersetzung?</eft:ersetzung>
  <eft:fortfuehrung?</eft:fortfuehrung>
  <eft:korrektur?</eft:korrektur>
  <eft:korrekturgrund?</eft:korrekturgrund>
</eft:angebot>
```

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A single ISIN or an ISIN list may be entered in the following part of the form.

ISIN einzeln	<input type="text"/>
ISIN Sammeleingabe	(max. 1000, jeweils durch Komma getrennt)
<input type="text"/>	
Anzahl der ISIN in der Sammeleingabe	<input type="text"/>

In XML, the data will appear as follows:

```
<eft:wpListe>
  <!-- list containing 1 to 1,000 entries -->
  <eft:isin>?</eft:isin>
</eft:wpListe>
```

In the following part of the form, the host supervisor is to be entered.

Rücknahme von Aufnahmestaatbehörden
Um einen weiteren Staat hinzuzufügen klicken Sie bitte auf das '+' - Symbol links; zum Entfernen das '-' - Symbol

Aufnahmestaatbehörde von	Belgien	▼
Aufnahmestaatbehörde von	<input type="text"/>	▼

See below for the corresponding XML structure:

```
<eft:aufnahmestaatListe>
  <!-- list containing 1 to 30 entries -->
  <eft:aufnahmestaat>?</eft:aufnahmestaat>
</eft:aufnahmestaatListe>
```

The following optional elements may be added:

```
<!--optional:-->
<eft:sprache>?</eft:sprache>
<!--optional:-->
<eft:schemaVersion>?</eft:schemaVersion>
```

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In the form this is followed by the file upload section.

Bitte laden Sie ein PDF mit den endgültigen Angebotsbedingungen hoch.

Hinweis: Um eine Datei hochzuladen klicken Sie bitte auf das Büroklammer-Symbol in der Aktionsleiste am oberen Bildschirmrand. Es öffnet sich ein Bildschirm, der das Hochladen einer Datei erlaubt.

In XML this is reflected by the element "pdfDocument", which comes after the basic element "eftMeldungNotifCancel".

```
<pdfDocument>
  <!-- The PDF document is entered here as a base64-encoded character
  string. See [MVP-XML]. -->
</pdfDocument>
```

The PDF file itself is inserted as a base64-encoded character string in the <pdfDocument> element. For further information on file uploads in XML-based reports, please refer to the documentation provided in [MVP-XML].

3.2.4 Structure within the basic element "reportFiling"

The above-mentioned <reportFiling> element contains the following subordinated elements:

```
<reportFiling xmlns:eft="http://www.bafin.de/mvp/eft/">
  <eft:detailsFiling>
    <!-- details of the final terms of the offer -->
  </eft:detailsFiling>
  <eft:hostMemberStateList>
    <!-- list of Member States -->
  </eft:hostMemberStateList>
  <eft:upload>
    <!-- file upload -->
  </eft:upload>
</reportFiling>
```

In the form view, this appears as shown below, with the company name and BAK number being preset. These details are not transmitted during submission of these reports via XML.

Angaben zum Emittenten

BaFin-ID	<input type="text" value="10100005"/>
Emittent Name	<input type="text" value="COMMERZBANK Aktiengesellschaft"/>

The XML structure does not include the elements for the details of the issuer preset in the form.

The next section of the form shows the details of the base prospectus.

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text"/>

```
<eft:detailsFiling>
  <eft:baseProspectus>
    <!-- details of the base prospectus -->
    <eft:prospectusId>
      <!-- number (unsigned integer) -->
    </eft:prospectusId>
    <eft:prospectusDate>
      <!-- date, e.g. 2018-09-05+02:00 -->
    </eft:prospectusDate>
  </eft:baseProspectus>
  ...
</eft:detailsFiling>
```

The element `<eft:detailsFiling>` contains a large number of subordinated elements in which the data for the filing are to be entered. Only the element for the list of the host member states and the element for the file upload exist outside of this element. The element `<eft:detailsFiling>` is therefore more complex than the element `<eft:angebot>`.

In the form, this section is followed by the details of the final terms of the offer.

Angaben zu den endgültigen Angebotsbedingungen

ID des zugehörigen Basisprospekts *	<input type="text"/>		
Datum des zugehörigen Basisprospekts *	<input type="text"/>		
Seriennummer	<input type="text"/>		
Wertpapierart *	<input type="text"/>		
Datum der endg. Angebotsbedingungen *	<input type="text"/>		
Ausschließliche Zulassung des Wertpapiers	<input type="checkbox"/>		
Datum des Angebotsbeginns *	<input type="text"/>		
Datum des geplanten Endes des Angebots	<input type="text"/>		
Sprache der endg. Angebotsbedingungen *	<input type="text"/>		
LEI des Emittenten *	<input type="text"/>		
LEI des Anbieters	<input type="text"/>		
<input type="checkbox"/> weiterer LEI des Anbieters hinzufügen			
LEI des Garanten	<input type="text"/>		
<input type="checkbox"/> weiterer LEI des Garanten hinzufügen			
<input type="checkbox"/> Aufstockung	<input type="checkbox"/> Ersetzung	<input type="checkbox"/> Fortsetzung des öffentl. Angebots	<input checked="" type="checkbox"/> Korrektur
Korrekturgrund	<input type="text"/>		

```
<eft:detailsFiling>
  <!-- details of the base prospectus -->
  ...
  <!--optional:-->
  <eft:serialNumber>?</eft:serialNumber>
  <eft:typeOfSecurity>?</eft:typeOfSecurity>
  <eft:dateFinalTermsOffer>?</eft:dateFinalTermsOffer>

  <!-- select admission or offer -->
  <eft:admission>
    <eft:dateAdmission>?</eft:dateAdmission>
  </eft:admission>
  <eft:offer>
    <eft:dateOfferBegin>?</eft:dateOfferBegin>
    <eft:dateOfferEnd>?</eft:dateOfferEnd>
  </eft:offer>

  <eft:languageDocument>?</eft:languageDocument>
  <eft:leiIssuer>?</eft:leiIssuer>
  <!--Optional:-->
  <eft:leiOfferorList>
    <!--1 to 5 repetitions:-->
    <eft:lei>?</eft:lei>
  </eft:leiOfferorList>
```

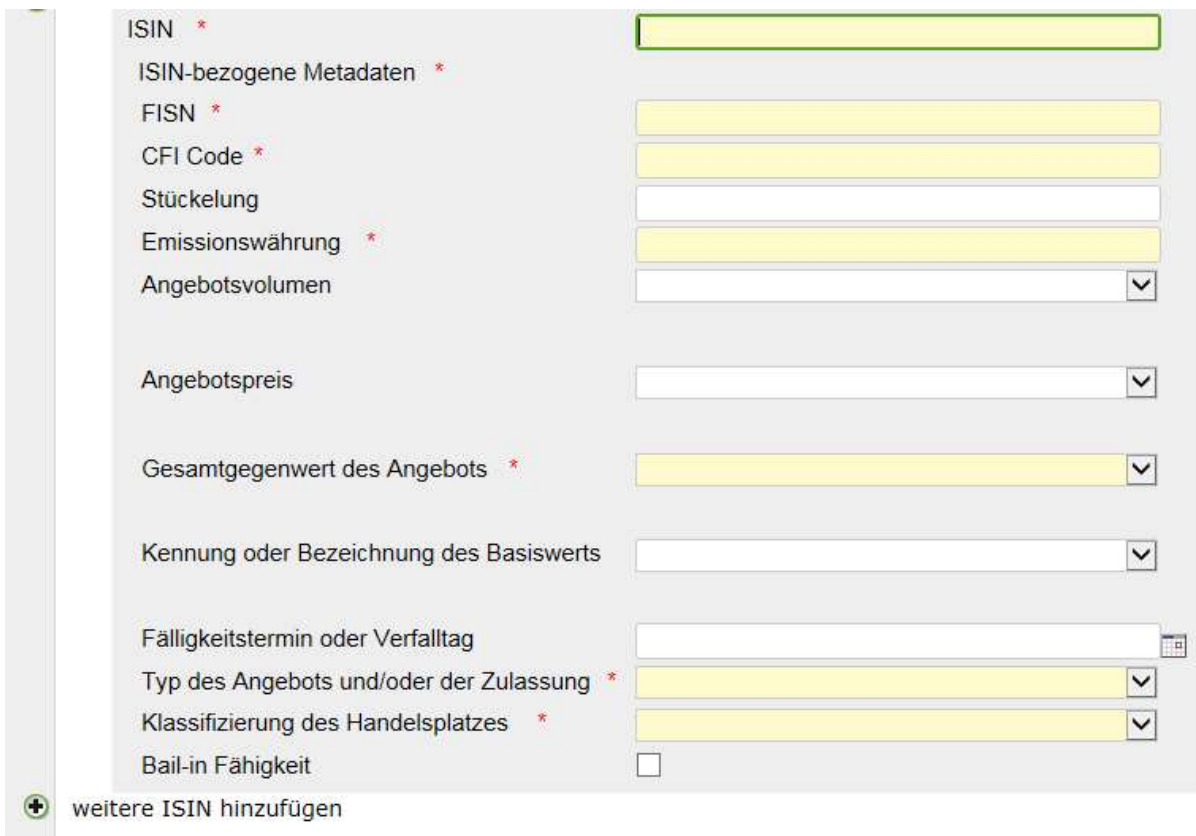
```
<!--Optional:-->
<eft:leiGuarantorList>
  <!--1 to 5 repetitions:-->
  <eft:lei>?</eft:lei>
</eft:leiGuarantorList>

<!-- select checkboxes „increase of issue“ etc. -->
<eft:increase>?</eft:increase>
<eft:replacement>?</eft:replacement>
<eft:continuation>?</eft:continuation>
<eft:correction>?</eft:correction>

...

</eft:detailsFiling>
```

A single ISIN section or a list of ISIN sections may be entered in the following part of the form.



The subordinated elements for the data of this ISIN list are also contained in the element `<eft:detailsFiling>`. Only the missing elements are reflected here.

```
<eft:detailsFiling>
...
<eft:isinSectionList>
  <!--1 to 1000 repetitions:-->
  <eft:isinSection>
    <eft:isin>?</eft:isin>
```

```
<eft:fnisn?></eft:fnisn>
<eft:cfi?></eft:cfi>
<!--optional:-->
<eft:denomination?></eft:denomination>
<eft:issuanceCurrency?></eft:issuanceCurrency>

<!--optional:-->
<eft:volumeOffered>
  <!-- selection of the following 3 elements -->
  <eft:volume?></eft:volume>
  <eft:toVolume?></eft:toVolume>
  <eft:fromToVolume>
    <eft:fromVolume?></eft:fromVolume>
    <eft:toVolume?></eft:toVolume>
  </eft:fromToVolume>
</eft:volumeOffered>

<!--optional:-->
<eft:priceOffered>
  <!-- selection of the following 5 elements -->
  <eft:amount?></eft:amount>
  <eft:toAmount?></eft:toAmount>
  <eft:fromToAmount>
    <eft:fromAmount?></eft:fromAmount>
    <eft:toAmount?></eft:toAmount>
  </eft:fromToAmount>
  <eft:notAvailable/>
  <eft:notApplicable/>
</eft:priceOffered>

<eft:totalConsiderationOffered>
  <!-- selection of the following 5 elements -->
  <eft:amount?></eft:amount>
  <eft:toAmount?></eft:toAmount>
  <eft:fromToAmount>
    <eft:fromAmount?></eft:fromAmount>
    <eft:toAmount?></eft:toAmount>
  </eft:fromToAmount>
  <eft:notAvailable/>
  <eft:notApplicable/>
</eft:totalConsiderationOffered>

<!--optional:-->
<eft:identifierNameUnderlying>
  <!-- selection of the following 4 elements -->
  <eft:multipleUnderlying/>
  <eft:singleUnderlyingIsin?></eft:singleUnderlyingIsin>
  <eft:singleUnderlyingIndex?></eft:singleUnderlyingIndex>
  <eft:singleUnderlyingShortName?></eft:singleUnderlyingShortName>
</eft:identifierNameUnderlying>

<!--optional:-->
<eft:maturityDate?></eft:maturityDate>
<eft:typeOfferAdmission?></eft:typeOfferAdmission>
<eft:characteristicsTradingVenue?></eft:characteristicsTradingVenue>
<eft:bailInAbility?></eft:bailInAbility>
</eft:isinSection>
</eft:isinSectionList>
</eft:detailsFiling>
```

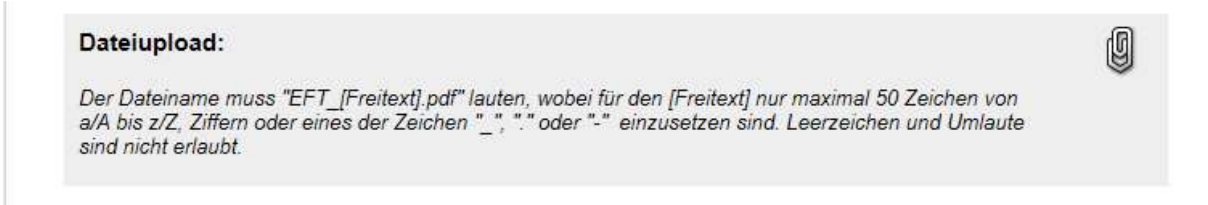

In the following part of the form, the host supervisors are to be entered.



See below for the corresponding XML structure:

```
<eft:hostMemberStateList>
  <!-- list containing 1 to 30 entries -->
  <eft:hostMemberState?></eft:hostMemberState>
</eft:hostMemberStateList>
```

In the form this is followed by the file upload section.



The file name of the upload file is saved in the `<eft:upload>` element.

```
<eft:upload>
  <eft:filename?></eft:filename>
</eft:upload>
```

In XML this is reflected by the element `<attachment>`, which comes after the basic element "reportFiling".

```
<attachment>
  <!-- The PDF document is entered here as a base64-encoded character
  string. See [MVP-XML]. -->
</attachment>
```

The PDF file itself is inserted as a base64-encoded character string in the `<attachment>` element. For further information on file uploads in XML-based reports, please refer to the documentation provided in [MVP-XML].

3.2.5 Structure within the basic element "reportCommunication"

The above-mentioned `<reportCommunication>` element contains the following subordinated elements:

```
<reportCommunication xmlns:eft="http://www.bafin.de/mvp/eft/">
  <eft:detailsCommunication>
    <!-- details of the final terms of the offer -->
  </eft:detailsCommunication>
  <eft:hostMemberStateList>
    <!-- list of Member States -->
  </eft:hostMemberStateList>
  <eft:upload>
    <!-- file upload -->
  </eft:upload>
</reportCommunication>
```

In the form view, this appears as shown below, with the company name and BAK number being preset. These details are not transmitted during submission of these reports via XML.

Angaben zum Emittenten

BaFin-ID	<input type="text" value="10100005"/>
Emittent Name	<input type="text" value="COMMERZBANK Aktiengesellschaft"/>

The XML structure does not include the elements for the details of the issuer preset in the form.

The next section of the form shows the details of the base prospectus.

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text" value=""/>

```
<eft:detailsCommunication>
  <eft:baseProspectus>
    <!-- details of the base prospectus -->
    <eft:prospectusId>
      <!-- number (unsigned integer) -->
    </eft:prospectusId>
    <eft:prospectusDate>
      <!-- date, e.g. 2018-09-05+02:00 -->
    </eft:prospectusDate>
  </eft:baseProspectus>
  ...
</eft:detailsCommunication>
```

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In the form, this section is followed by the details of the final terms of the offer.

Angaben zu den endgültigen Angebotsbedingungen

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text"/>
Seriennummer	<input type="text"/>
Datum der endgültigen Angebotsbedingungen *	<input type="text"/>
<input type="checkbox"/> Aufstockung <input type="checkbox"/> Ersetzung <input type="checkbox"/> Fortsetzung des öffentl. Angebots <input checked="" type="checkbox"/> Korrektur	
ISIN *	<input type="text"/>
ISIN *	<input type="text"/>

+ weitere ISIN hinzufügen

```
<eft:detailsCommunication>
  <!-- details of the base prospectus -->
  ...
  <!--optional:-->
  <eft:serialNumber?></eft:serialNumber>
  <eft:dateFinalTermsOffer?></eft:dateFinalTermsOffer>

  <!-- select checkboxes „increase of issue“ etc. -->
  <eft:increase?></eft:increase>
  <eft:replacement?></eft:replacement>
  <eft:continuation?></eft:continuation>
  <eft:correction?></eft:correction>

  <eft:isinList>
    <!--1 to 1000 repetitions:-->
    <eft:isin?></eft:isin>
  </eft:isinList>

</eft:detailsCommunication>
```

In the following part of the form, the host supervisors are to be entered.

Mitteilung an Aufnahmestaatbehörden

Aufnahmestaatbehörde von *	<input type="text" value="Belgien"/>
Aufnahmestaatbehörde von *	<input type="text"/>


+ weitere Aufnahmestaatbehörde hinzufügen

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See below for the corresponding XML structure:

```
<eft:hostMemberStateList>
  <!-- list containing 1 to 30 entries -->
  <eft:hostMemberState?></eft:hostMemberState>
</eft:hostMemberStateList>
```

In the form this is followed by the file upload section.

Dateiupload: 

Der Dateiname muss "EFT_[Freitext].pdf" lauten, wobei für den [Freitext] nur maximal 50 Zeichen von a/A bis z/Z, Ziffern oder eines der Zeichen "_", "." oder "-" einzusetzen sind. Leerzeichen und Umlaute sind nicht erlaubt.

The file name of the upload file is saved in the `<eft:upload>` element.

```
<eft:upload>
  <eft:filename?></eft:filename>
</eft:upload>
```

In XML this is reflected by the element `<attachment>`, which comes after the basic element `<eft:detailsCommunication>`.

```
<attachment>
  <!-- The PDF document is entered here as a base64-encoded character
  string. See [MVP-XML]. -->
</attachment>
```

The PDF file itself is inserted as a base64-encoded character string in the `<attachment>` element. For further information on file uploads in XML-based reports, please refer to the documentation provided in [MVP-XML].

3.2.6 Structure within the basic element "reportCommunicationCancel"

The above-mentioned `<reportCommunicationCancel>` element contains the following subordinated elements:

```
<reportCommunicationCancel xmlns:eft="http://www.bafin.de/mvp/eft/">
  <eft:detailsCommunication>
    <!-- details of the final terms of the offer -->
  </eft:detailsCommunication>
  <eft:hostMemberStateList>
    <!-- list of Member States -->
  </eft:hostMemberStateList>
  <eft:upload>
    <!-- file upload -->
  </eft:upload>
</reportCommunicationCancel>
```

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In the form view, this appears as shown below, with the company name and BAK number being preset. These details are not transmitted during submission of these reports via XML.

Angaben zum Emittenten

BaFin-ID	10100005
Emittent Name	COMMERZBANK Aktiengesellschaft

The XML structure does not include the elements for the details of the issuer preset in the form.

The next section of the form shows the details of the base prospectus.

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text"/>

```
<eft:detailsCommunication>
  <eft:baseProspectus>
    <!-- details of the base prospectus -->
    <eft:prospectusId>
      <!-- number (unsigned integer) -->
    </eft:prospectusId>
    <eft:prospectusDate>
      <!-- date, e.g. 2018-09-05+02:00 -->
    </eft:prospectusDate>
  </eft:baseProspectus>
  ...
</eft:detailsCommunication>
```

In the form, this section is followed by the details of the final terms of the offer.

Angaben zu den endgültigen Angebotsbedingungen

ID des zugehörigen Basisprospekts *	<input type="text"/>
Datum des zugehörigen Basisprospekts *	<input type="text"/>
Seriennummer	<input type="text"/>
Datum der endgültigen Angebotsbedingungen *	<input type="text"/>
<input type="checkbox"/> Aufstockung <input type="checkbox"/> Ersetzung <input type="checkbox"/> Fortsetzung des öffentl. Angebots <input checked="" type="checkbox"/> Korrektur	
ISIN *	<input type="text"/>
ISIN *	<input type="text"/>
<input type="button" value="weitere ISIN hinzufügen"/>	

```
<eft:detailsCommunication>
  <!-- details of the base prospectus -->
```

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```
...
<!--optional:-->
<eft:serialNumber>?</eft:serialNumber>
<eft:dateFinalTermsOffer>?</eft:dateFinalTermsOffer>

<!-- select checkboxes „increase of issue“ etc. -->
<eft:increase>?</eft:increase>
<eft:replacement>?</eft:replacement>
<eft:continuation>?</eft:continuation>
<eft:correction>?</eft:correction>

<eft:isinList>
  <!--1 to 1000 repetitions:-->
  <eft:isin>?</eft:isin>
</eft:isinList>

</eft:detailsCommunication>
```

In the following part of the form, the host supervisors are to be entered.

Rücknahme von Aufnahmestaatbehörden


Aufnahmestaatbehörde von *	Belgien	▼
Aufnahmestaatbehörde von *		▼

weitere Aufnahmestaatbehörde hinzufügen

See below for the corresponding XML structure:

```
<eft:hostMemberStateList>
  <!-- list containing 1 to 30 entries -->
  <eft:hostMemberState>?</eft:hostMemberState>
</eft:hostMemberStateList>
```

In the form this is followed by the file upload section.

Dateiupload: 

Der Dateiname muss "EFT_[Freitext].pdf" lauten, wobei für den [Freitext] nur maximal 50 Zeichen von a/A bis z/Z, Ziffern oder eines der Zeichen "_", "." oder "-" einzusetzen sind. Leerzeichen und Umlaute sind nicht erlaubt.

The file name of the upload file is saved in the `<eft:upload>` element:

```
<eft:upload>
```

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```
<eft:filename?</eft:filename>  
</eft:upload>
```

In XML this is reflected by the element `<attachment>`, which comes after the basic element `<eft:detailsCommunication>`.

```
<attachment>  
  <!-- The PDF document is entered here as a base64-encoded character  
  string. See [MVP-XML]. -->  
</attachment>
```

The PDF file itself is inserted as a base64-encoded character string in the `<attachment>` element. For further information on file uploads in XML-based reports, please refer to the documentation provided in [MVP-XML].

4 Additional XML elements

4.1 Client reference (Kundenreferenz)

The client reference (Kundenreferenz) is a reference value determined by the notifying party to facilitate client-side identification of the report. This element is optional.

```
<kundenreferenz>
  <!-- string of 20 characters -->
</kundenreferenz>
```

The element `<kundenreferenz>` comes after the respective basic element. See, for example, the basic element `<eftMeldung>` below.

```
<eftMeldung xmlns:eft="http://www.bafin.de/mvp/eft/">
  <!-- content of the report in XML format. -->
</eftMeldung>
<kundenreferenz>
  <!-- string of 20 characters -->
</kundenreferenz>
```

4.2 File upload

The elements `<pdfDocument>` and `<attachment>` and their use have already been described in the "File upload" section of the respective basic elements.

For further information on file uploads in XML-based reports, please also refer to the documentation provided in [MVP-SOAP] and [MVP-XML].

5 Validity of the XML file

In syntactical terms, the format of the XML file is invalid when the optional `<kundenreferenz>` element and the elements `<pdfDocument>` and `<attachment>` are inserted after the respective basic element of the EFT report. Validation of the XML file also generates an error message.

See, for example, the basic element `<eftMeldung>` below:

```
<eftMeldung xmlns:eft="http://www.bafin.de/mvp/eft/">
  <!-- content of the report in XML format. -->
</eftMeldung>
<kundenreferenz>
  <!-- string of 20 characters -->
</kundenreferenz>
<pdfDocument>
  <!-- The PDF document is entered here as a base64-encoded character
string. See [MVP-XML]. -->
</pdfDocument>
```

This does not cause any problems, however, since the content of the XML file is completed automatically and embedded in the correct format when the file is uploaded via the web application.

6 Use of MTOM

6.1 Connecting to the web service

For several specialised procedures it is necessary to send the files as an MTOM attachment. This also applies to the latest version of this specialised procedure: if the web service interface is used, the file must be transmitted via MTOM in the original format (here: PDF) without encoding or compression.

This means that the file must not be compressed, base64-encoded or otherwise encoded or transformed, such as quoted-printable, UUencode, etc.

In order to reduce the data volume transferred, the request must be compressed using HTTP compression (RFC 2616). For reasons of compatibility, only the "gzip" compression method may be used.

For further information on the use of MTOM attachments, please refer to the documentation provided in [MVP-SOAP].

6.2 XML upload

If the function XML upload is used via the web application, MTOM is also used internally. This does not have any impact on the XML structure described earlier, however.