

# Reporting and Publishing Platform Portal MVP Portal

**User Manual** 

Last updated: 10. December 2018



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# Introduction

The present Document describes the procedure for registering with and logging in to the Reporting and Publishing Platform Portal (Melde- und Veröffentlichungsplattform Portal – MVP Portal) of the Federal Financial Supervisory Authority (Bundesanstalt für Finanzdienstleistungsaufsicht – BaFin). The MVP Portal serves as a platform for various specialised procedures for which a notification requirement is prescribed by law. It thus offers notifying parties the possibility of complying with their obligation to BaFin. For this, the steps as set out hereinafter describe how you (1.) register with and then log in to the MVP Portal, and (2.) can apply for notification authorisation for a specialised procedure.

This will not result in any changes to procedures currently being reported via the MVP. The notifications will continue to be submitted via the usual platform. Eventually these procedures will be transferred to the MVP Portal, but this will be announced separately.

# Requirements

# 1.1 Technical requirements

To register on the MVP Portal and submit notifications there, you must meet the following technical requirements:

#### 1.1.1 Internet access

To submit electronic notifications to us, you need an Internet-enabled computer with Internet access.

When sensitive data are transmitted, you should submit notifications from a secure network so that the data transfer cannot be intercepted. An openly accessible WLAN, for example, is not suitable for sending sensitive data.

#### 1.1.2 Web browser

You need a web browser in order to access the MVP Portal (which was tested with the Internet Explorer as well as Mozilla Firefox). Normally, it should be possible to use any HTML-compliant browser.

#### 1.1.3 E-mail

For the registration, you need an e-mail address and a means of accessing it. You must provide this e-mail address during the registration process; it serves as the primary channel of communication between BaFin and you. In the case of certain sensitive operations, an e-mail is sent to you in order to confirm the operation.



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#### 1.1.4 Web service client

If you would like to use the option of sending us notifications in automated form in a single operation, you need a SOAP-compatible web service client. You will find the configuration and the link to the service definition in the relevant chapter for this or in the online documentation of the MVP Portal under "Documentation/Help".

#### 1.1.5 Printer

When you apply for a notification authorisation, you will be requested to print out and sign the electronically submitted application and to send it to BaFin together with the required documents.



#### **MVP Portal**

#### 1.2 MVP Portal start page

To obtain access to the MVP Portal, you first have to register as a notifying party. You can find the application for this on the BaFin website:

#### http://www.bafin.de

In the upper left corner of the page you can choose "English" for the English version of BaFin homepage.

Scroll down the Website to

# Quick links



# **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.



Figure 1 Quick Links – MVP Portal

Under the section "Companies" and the hyperlink "Reporting and publishing platform (MVP)" in the left-hand menu, you will be directed to the start page of "Reporting and Publishing Portal - MVP Portal (net short positions)". If MVP Portal is presented in German, you can choose the English version in section "Sprache" (Language) in the left-hand menu.



Describe Contact to Media contacts

Welcome Undertakings Consumers International Bulbs Law & Regulation Publications & data

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\*\*PREMISTRATE AND ADDRESS AND

Buy-back programmes and stabilisation measures Reports pursuant to Art. 5 MAR and Regulation No. (EU) 2016/1052

Figure 2 MVP Portal start page



#### 1.2.1 Registering

Under the section "User account" in the left-hand menu, you select "Registration" to first select in what capacity you want to register – as a natural person (private individual) or as a contact person (employee) of a company.

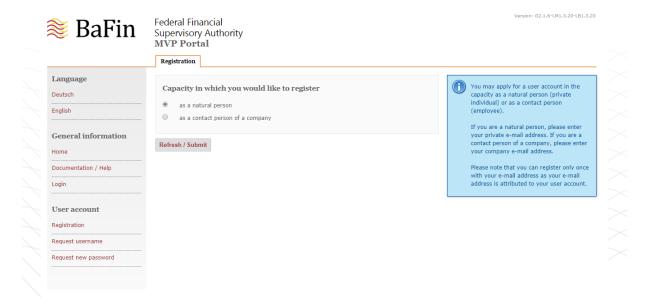


Figure 3 Registration – notifying party

After that you will be requested to provide your personal details. If you are a natural person, please enter your private e-mail address here; if you are a contact person of a company, please enter your company e-mail address. The field for stating your title is optional. Please note that you are required to state a company name if you are registering as the contact person of a company. The fields marked with \* are mandatory fields.

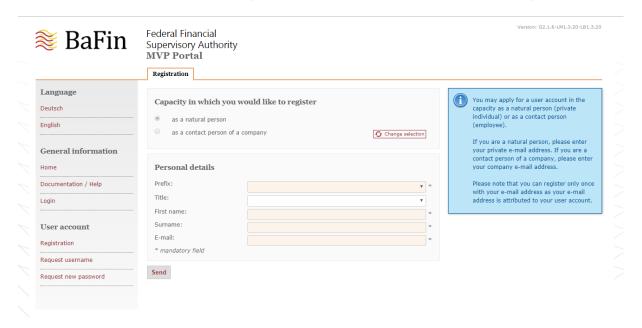


Figure 4 Registration – personal details



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To send your registration data to BaFin, click on the "Send" button.

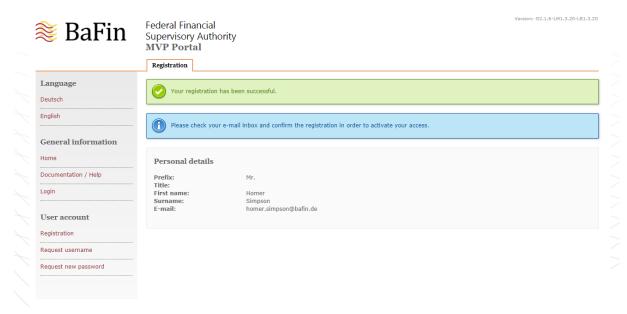


Figure 5 Registration – e-mail transmission



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You then receive an e-mail with a link opening a page in which you must confirm the registration and enter your remaining data. This link is valid for 72 hours. If you do not respond within this time, the registration data will be removed from our system.

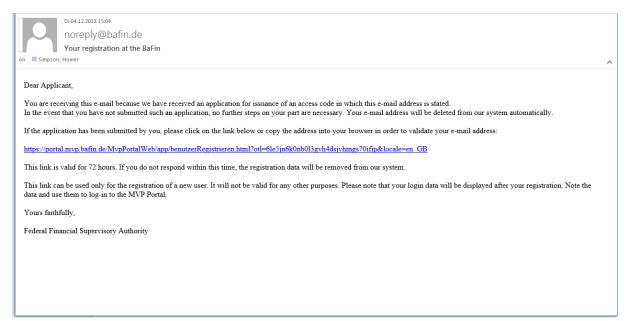


Figure 6 E-mail confirmation of registration

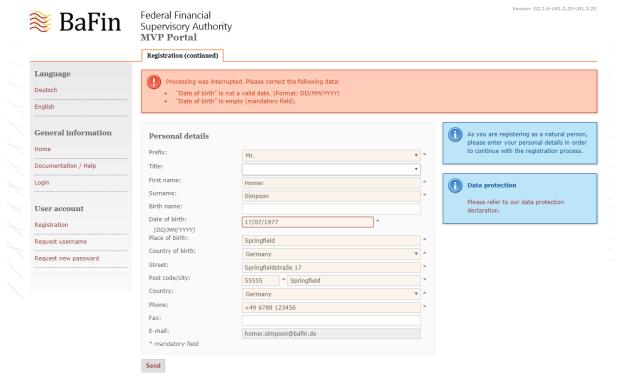


Figure 7 Registration (continued)



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Lastly, you are displayed a username and a password for logging in to the MVP Portal. Please from now on do not use the link which was provided in our e-mail (Figure 6 E-mail confirmation of registration). Its validity has been terminated.

Please remember the log-in data or print out this page, since without such data no access to the MVP Portal is possible.

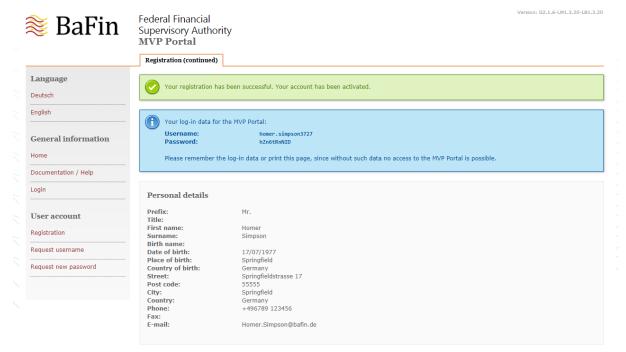


Figure 8 Username and password for log-in after registration

#### Important notice:

The username and the password are assigned to you for security reasons. You are not free to choose them. Remember your user identification! The password is stored at BaFin in encrypted form and cannot be reconstructed, not even by employees of BaFin. If you forget your access data, a new password must be generated. In such cases, please refer to the relevant chapter provided in this Documentation.



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#### 1.2.2 Logging in to MVP Portal

With the data, username and password now assigned, you can log in to the MVP Portal by selecting the "Login" link under the section "General information".

Please enter the data and confirm with "Login".

The "Reset" button deletes the data you have entered.

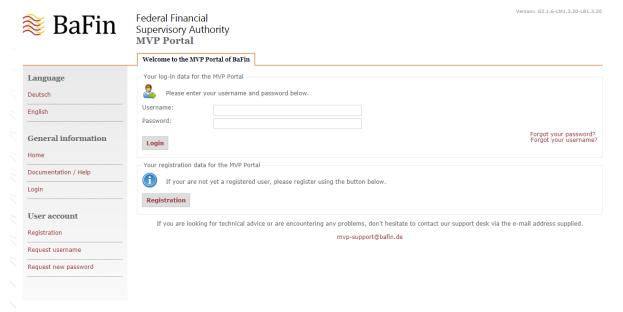


Figure 9 Login

The start screen of the MVP Portal appears – you are logged in!



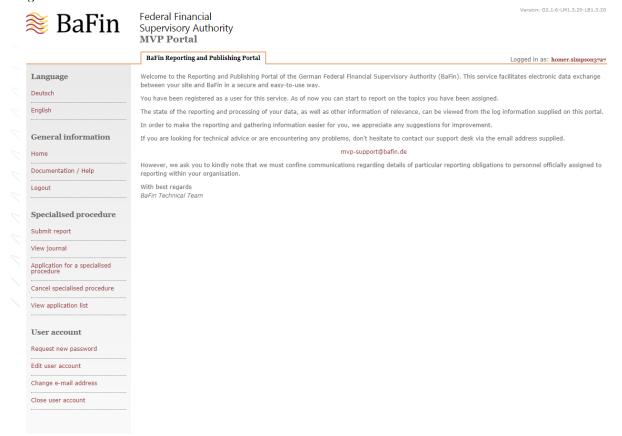


Figure 10 Start screen after log-in

#### 1.2.3 Applying for specialised procedures

After successfully registering and logging in to the MVP Portal, you now have the possibility of applying for a specialised procedure. To do this, select under the section "Specialised procedure" the menu item "Application for a specialised procedure", and from the drop-down menu select the specialised procedure for which you want to submit notifications.



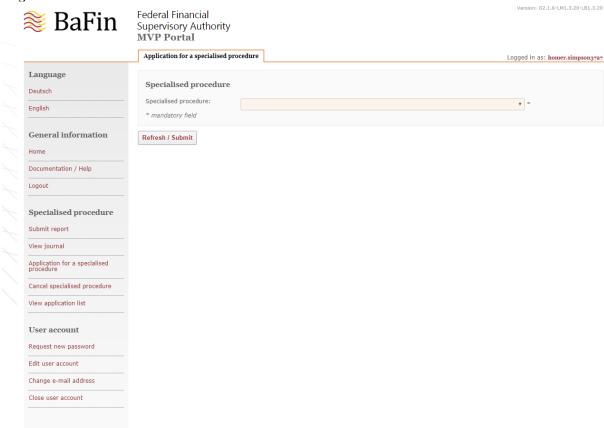


Figure 11 Applying for participation in a specialised procedure



The further steps will depend on the specialised procedure selected and cannot be explained here.

#### Example:

In the specialised procedure for net short positions, you have to select in which capacity you want to submit notifications.

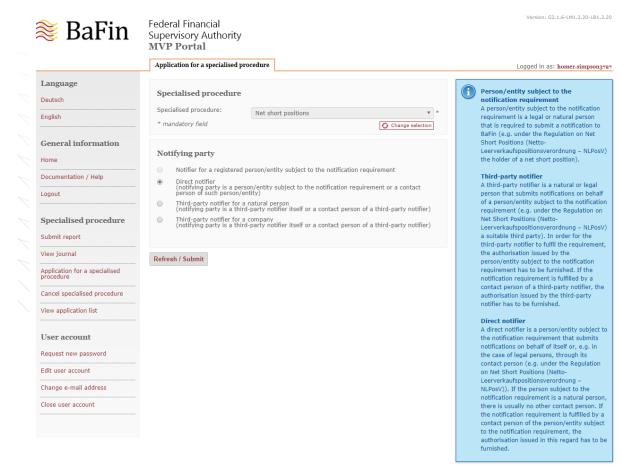


Figure 12 Specialised procedure -net short positions

Please fill out the fields marked as mandatory fields (\*) and follow the instructions given on the Portal.

Once all necessary data have been entered, confirm by clicking on the "Apply" button. After that, a PDF document is automatically prepared from your data and displayed.



Application for the specialise		BaFin
Register of net short p	ositions	
Please sign this application and se Bundesanstalt für Finanzd Referat WA 25/Leerverkaufsüberv Marie-Curie-Straße 24-28 Frankfurt am Main Germany	ienstleistungsaufsicht	
Or fax it to: +49 (0)228/4	1108-1717	Application no :
Details of procedure		Application no.:
Specialised procedure		
Notifying party		-
Person/entity subject to the notification	inatural person     inatural person     inatural person     inatural person     inatural person     inatural person     inatural person	
Notifying party is a	□ natural person  x contact person of a company	
Details of the notifying par	ty	
Prefix/title First name Surname Birth name Date of birth Place of birth Country of birth		
Address		
Street Post code/city Country		
E-mail Phone Fax		



Company	party (company)	
Company		
Street		
Post code/city Country		
	ubject to the notification requirement (natural person)	
	majori to the notification requirement (natural person)	
Prefix/title First name Surname		
Birth name		
Date of birth Place of birth		
Country of birth		
etails of the company		
Company		
Company		
Type of reference		
Reference		
General information on	the person/entity subject to the notification requirement	
Address		
Street		
Post code/city Country		
E-mail Phone		
Fax		



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After you have been displayed the automatically generated PDF form (electronic application) and have printed it out, the application for the specialised procedure is completed.

#### Important notice:

If no PDF document is displayed to you, this may be due to an active pop-up blocker. In that case please click on the download link provided and open the PDF file manually.

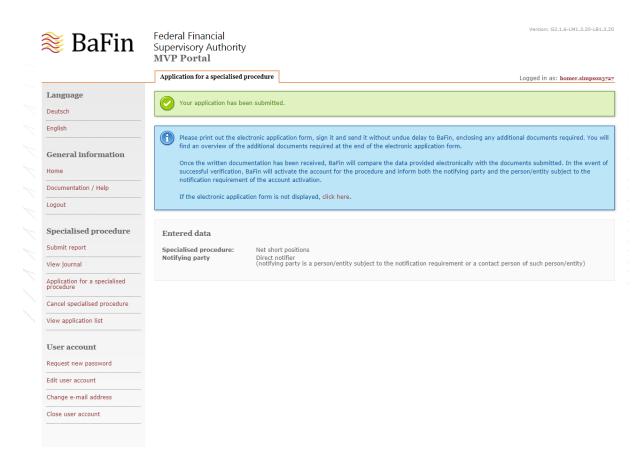


Figure 13 Completion of application for specialised procedure



#### Page 19 1.2.4 View journal

Under the menu item "View journal", you have the possibility of keeping track of what notifications you have already transmitted to BaFin under a specialised procedure and of what processing status such notifications have reached.

For this, simply select your filter criteria and click on "search". A list of the notifications you have already submitted is then displayed.

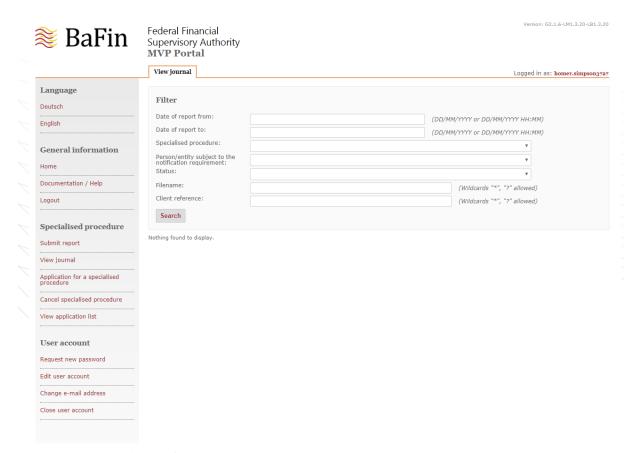


Figure 14 View journal



## 1.2.5 Cancellation of specialised procedures

If you no longer wish to submit any further notifications in a specialised procedure you applied for in the MVP Portal, you may cancel this specialised procedure.

To do this, select the menu item "Cancel specialised procedure" and from the drop-down menu the specialised procedure concerned as well as the person/entity subject to the notification requirement on whose behalf you have submitted notifications. To complete this operation, click on the "Cancel" button.

#### Important notice:

Once completed, cancellation of a specialised procedure cannot be reversed!

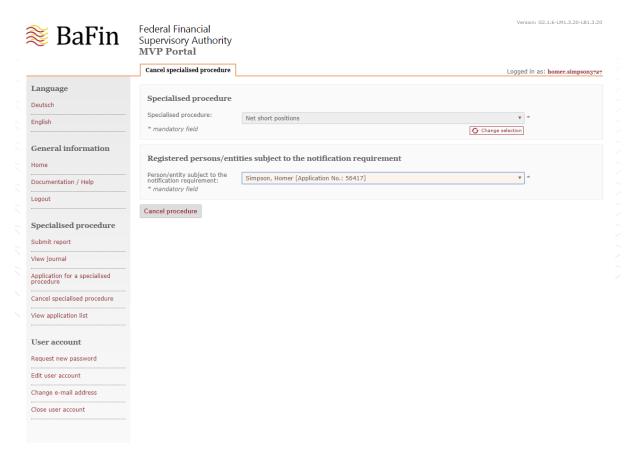


Figure 15 Cancellation of specialised procedures



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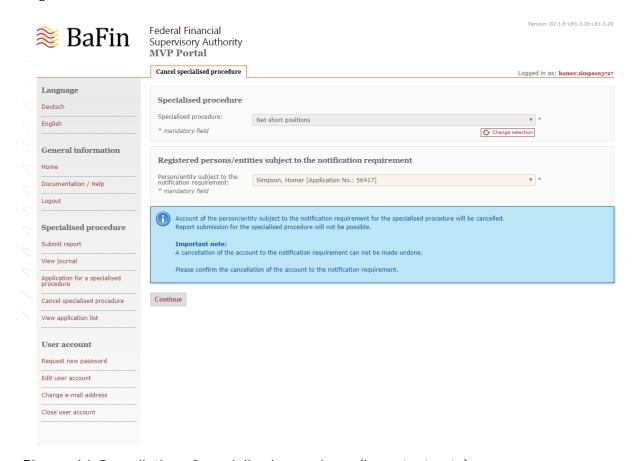


Figure 16 Cancellation of specialised procedures (important note)



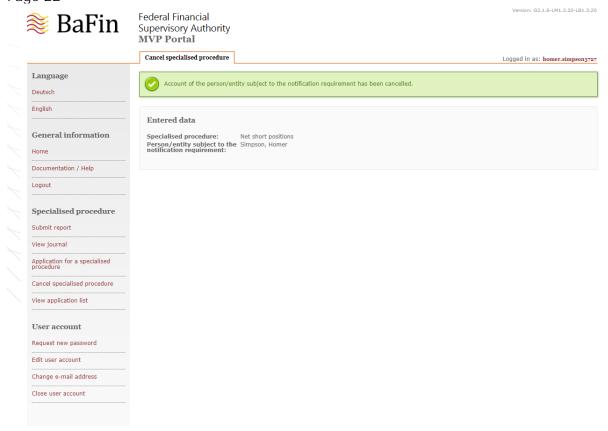


Figure 17 Cancellation of specialised procedures (completed)



#### 1.2.6 View application list

Under the section "View application list", you can view the electronic application you have already submitted and re-generate the corresponding PDF file:

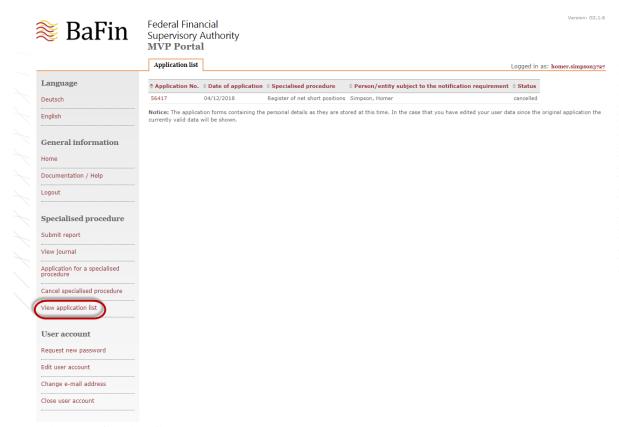


Figure 18 View application list

If you click on the respective application number you will be able to re-generate the PDF form. The selected application depends on the procedure you have applied for. Here you can also view the status of your application. Applications may have reached the following status:

- preliminary
  - Your application has been submitted electronically but has not yet been processed by BaFin. Depending on the procedure selected, you may be allowed to submit preliminary notifications.
- accepted
  - Your application has been accepted. Depending on the procedure selected, you can now submit notifications; preliminary notifications that have already been submitted become final.
- refused
  - BaFin has refused your application; preliminary notifications have been deleted.
- cancelled
  - You have cancelled your application and your preliminary notifications have been deleted; notifications that have become final are retained.



#### Important notice:

The data contained in the applications correspond to the current user data. Should you have changed your user data since submission of the application, the current data will be used.

# 1.2.7 Logging out of MVP Portal

To log out of the MVP Portal, click on the menu item "Logout" on the left-hand side of the main menu. It is urgently recommended to end each session by logging out.

A session is ended automatically when it has been inactive for more than 40 minutes.

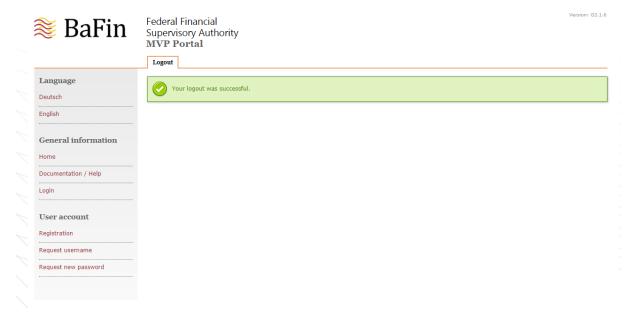


Figure 19 Logout



#### 1.2.8 Requesting username

If you have forgotten your username or are concerned that unauthorised persons may have gained access to it, you can request a new username.

Click on the menu item "Request username". You will be asked to enter the e-mail address you have communicated on your registration at MVP Portal. Please enter this e-mail address and click on "request"-button. If the entered e-mail address matches with the one that is stored in our system, an e-mail is sent to the address you have provided. Please check your e-mail inbox and click on the link in this e-mail, to confirm the operation. On the web page, your new username is displayed.

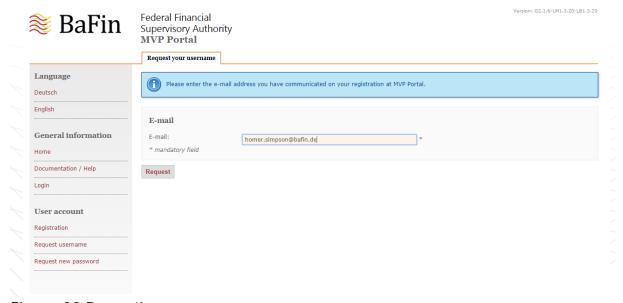


Figure 20 Requesting username

Copy the Link from the mail that you received from <a href="mailto:noreply@bafin.de">noreply@bafin.de</a> into your browser:

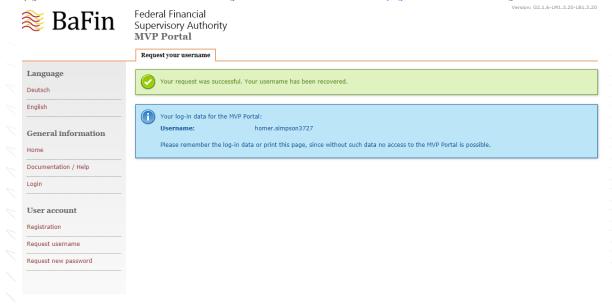


Figure 21 Username recovered



# 1.2.9 Requesting a new password

If you have forgotten your password or are concerned that unauthorised persons may have gained access to it, you should request a new password. Click on the menu item "Request new password". You will be asked to enter the username you have received on your registration at MVP Portal. Please enter this username and click on "request" - button.

An e-mail is sent to the e-mail address you have provided on your registration at MVP Portal. Please check your e-mail inbox and click on the link in this e-mail, to confirm the operation. On the web page, your new password is displayed.

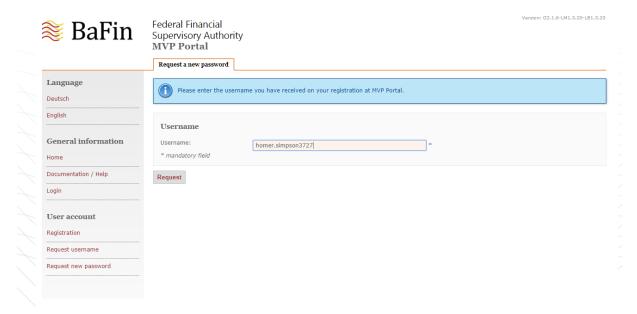


Figure 22 Requesting new password

Copy the Link from the mail that you received from <a href="mailto:noreply@bafin.de">noreply@bafin.de</a> into your browser:

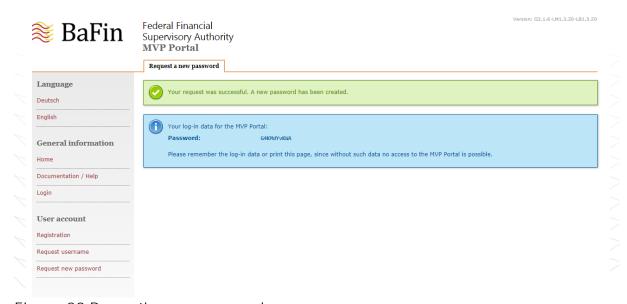


Figure 23 Requesting new password



#### Page 27 1.2.10Edit User Account

To edit your user account data please click on the link "Edit User Account" in the menu:

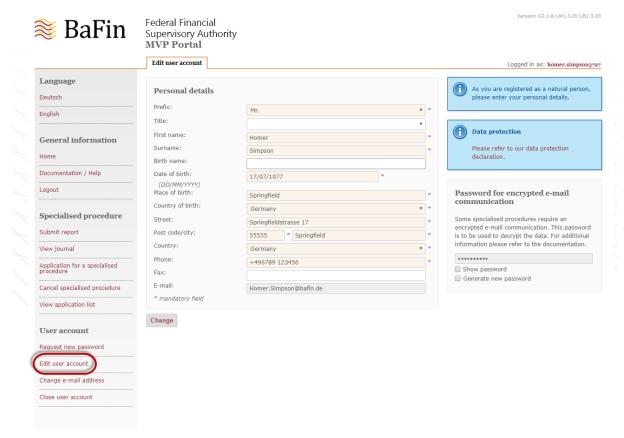


Figure 24 Edit user account

An input form opens to change your user data. Please click on the button "change" when you're done. In order to change your e-mail address, please use the function "Change e-mail address".



# 1.2.11Change e-mail address

To change your e-mail address select the link "Change e-mail address" in the menu:

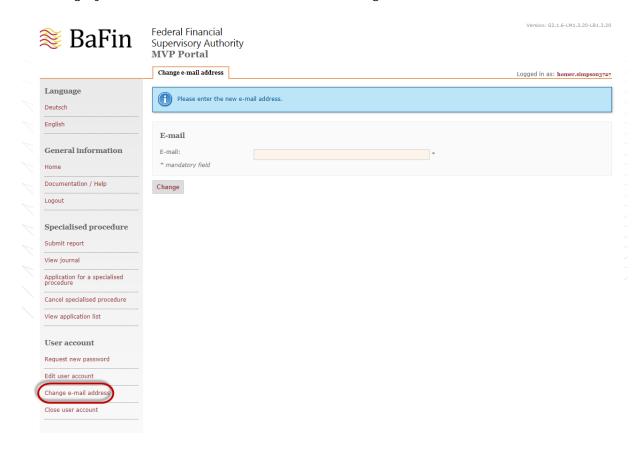


Figure 25 Change e-mail address

You will be asked to provide your new e-mail address in an in put field. An automated mail will be sent to verify the address. Please click at the link which is contained in the mail. The new address will be active afterwards.

#### 1.2.12Close user account

You can permanently close your user account under the section "Close user account". The account cannot subsequently be reopened.



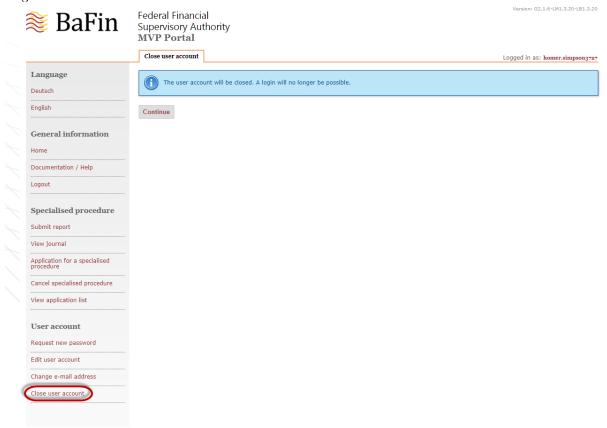


Figure 26 Close user account

To close your user account, please proceed as follows:

- 1. Click on the "Close user account" button.
- 2. Click on the "Continue" button.
- 3. You will then receive an e-mail at the address you have provided. Click on the confirmation link provided in the e-mail.
- 4. Don't close the browser and don't log out now
- 5. Check your mailbox for the mail, which will be send by the system to you
- 6. Select the contained link, copy it, paste it into the address field (URL) of the open browser and press "ENTER".
- 7. Now click on the "OK" button to confirm the deletion of the user account and wait a few seconds until you get the green message "Account deleted".
- 8. You will be redirected to the MVP Portal to confirm that you intend to close your account. Closing of the account will then be initiated.



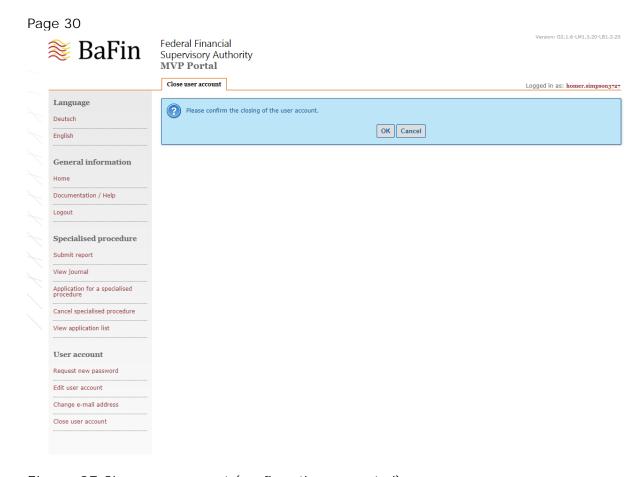


Figure 27 Close user account (confirmation requested)

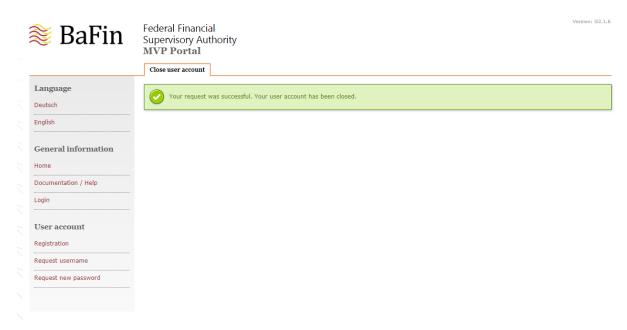


Figure 28 Close user account (account closed)

After your user account has been closed all notification authorisations will be revoked. Should you have submitted preliminary notifications without having been granted notification authorisation, these preliminary notifications will be deleted. Subsequently



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your account will be closed and you will no longer have access to the system. You will no longer be able to log in to the MVP Portal.

#### 1.3 Documentation

In addition to this User Manual, an online documentation is provided that can be viewed under the menu item "Documentation/Help" on the MVP Portal. This can also be done without logging in.

This User Manual as well as the online documentation will be updated as required. Particularly the menu item FAQs (frequently asked questions) will be supplemented over time by questions brought to our attention.

# 1.4 Adjusting the language environment

To switch the displayed language to English, please use the link in the main menu "Language: German/English". Currently, only these two languages are available. Normally, the browser setting is evaluated as the displayed language and English selected in the case of non-German browsers.