

Information sheet on the specialised procedure **Insurance Supervision**

As at: 17 December 2014

General information

Insurance undertakings and authorised service providers who wish to submit notifications to BaFin electronically for the different insurance supervision sub-procedures (in the following also called "submissions" for the specialised procedure "Insurance Supervision") may do so using the BaFin reporting and publishing platform (*Melde- und Veröffentlichungsplattform* – MVP Portal).

To use the electronic specialised procedure you have to (1.) complete registration to gain access to the MVP Portal and (2.) apply for the specialised procedure "Insurance Supervision" in order to (3.) make submissions for a selected sub-procedure. In the following this process is explained in detail. For practical instructions regarding registration and applications for the MVP Portal, please refer to the *MVP Portal User Manual* (link: <http://www.bafin.de/SharedDocs/Downloads/DE/dl_mvportal_handbuch.pdf?__blob=publicationFile&v=4>).

Please direct any questions regarding the contents or subject matter of the specialised procedure "Insurance Supervision" or regarding one of the following sub-procedures to:

E-mail: Fachlicher-Support-VA@BaFin.de

Should you have any technical queries or problems, please contact our technical support desk:

E-mail: mvp-support@bafin.de

The specialised procedure "Insurance Supervision" consists of the following sub-procedures (submissions):

- Ad-hoc Abfragen (Prefix ADHOC)
- Rechnungszins KV (Prefix AUZ)
- KA-Sammelverfügung (Prefix BW1 to BW5)¹
- BerVersV/BerPensV/Rundschreiben per DÜVA
- Besondere Verwendung (Prefix BESV)
- Krawatte (Prefix KR)
- Zinsgarantieabfrage PK (Prefix PKZG)
- Risikoberichte (Prefix RI)
- Sonderabfragen KV (Prefix SAKVU)
- Stresstest (Prefix ST)
- Vollerhebung KV 2014 (Prefix VEKVU)
- Vollerhebung LV 2014 (Prefix VELVU)
- Prognoserechnung (Prefix SR/SZ)
- Zinsgarantien LV (Prefix ZG)
- Technische Berechnungsgrundlagen (Prefix TB)

¹ Anlagen Streuung, Fonds, Immobilien, Beteiligungen, Verbundene Unternehmen, Hedgefonds, ABS/CLN, Rohstoffprodukte, Mischung (*only available in German*); see also: http://www.bafin.de/SharedDocs/Downloads/DE/Formular/dl_vf_110621_anlagen_va.html

- Beschwerdeberichte (Prefix BB)

Important note: The prefixes in brackets are designed to facilitate the referencing of files to the sub-procedures, as the MVP Portal features separate upload areas for the different submissions. **It is therefore essential that the file naming conventions described at the end of this document be observed.**

The following illustration gives an overview of the steps from registration through to actual submission of data. These steps are explained in more detail in the text below.



(1) Registration on the MVP Portal

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

<http://www.bafin.de>

under the section "Quick links" and the hyperlink "MVP Portal". Select the MVP Portal and follow the link "To MVP Portal".

Under "User account", click on "Registration". When the page "Registration" appears, you first select the capacity in which you wish to register. **Choose "as a contact person of a company" (i.e. you are acting as a contact person of an insurance undertaking or an authorised third party). You may not choose "as a natural person" for the specialised procedure "Insurance Supervision".**

Registration

Language
Deutsch
English

General information
Home
Documentation / Help
Login

User account
Registration
Request username
Request new password

i You may apply for a user account in the capacity as a natural person (private individual) or as a contact person (employee).
If you are a natural person, please enter your private e-mail address. If you are a contact person of a company, please enter your company e-mail address.
Please note that you can register only once with your e-mail address as your e-mail address is attributed to your user account.

Capacity in which you would like to register

as a natural person
 as a contact person of a company

Personal details

Prefix: *

Title: *

First name: *

Surname: *

E-mail: *

Company details

Company name: *

* mandatory field

Send

Screenshot 1 Registration as a contact person of a company

After that you will be requested to provide your personal details. To submit your registration data to BaFin, click "Send". You then receive an e-mail containing a link that opens a page where you are required to enter your remaining personal and company data.

If you are a notifying party, please insert your professional details here. The field for stating your title is optional. Please make sure to enter both the required personal details and the required information on your undertaking. If you wish to submit notifications on behalf of another undertaking subject to the notification requirement, i.e. as a third-party notifier, please also insert the name of the undertaking you are working for – not the undertaking on whose behalf you wish to submit notifications.

As the last step, a username and password for logging in will be generated and shown to you on the MVP Portal.

Please remember the log-in data or print this page, as access to the MVP Portal is not possible without such data.

BaFin recommends that you use an electronic password safe for secure password management.

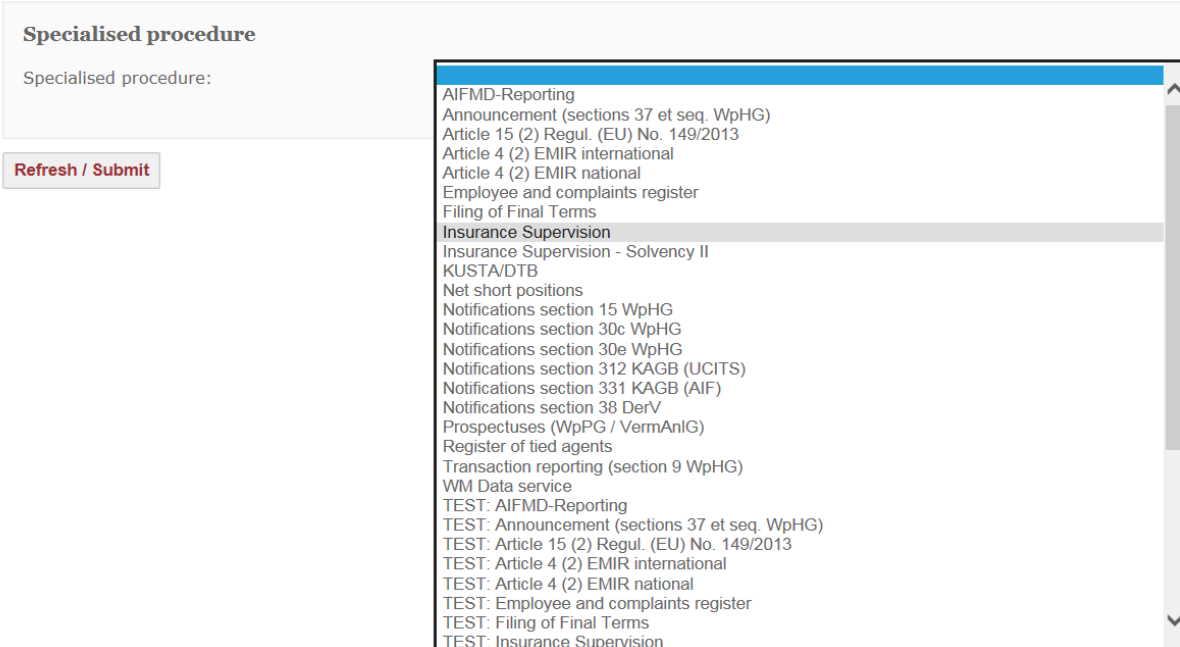
For practical instructions regarding registration with the MVP Portal, please refer to the *MVP Portal User Manual* (link: <http://www.bafin.de/SharedDocs/Downloads/DE/dl_mvp-portal_handbuch.pdf?__blob=publicationFile&v=4>).

(2) Application for specialised procedure "Insurance Supervision"

After you have successfully registered and logged in to the MVP Portal, you have to apply for the specialised procedure "Insurance Supervision" in order to make submissions for this

specialised procedure. Select "Apply for specialised procedure" under the heading "Specialised procedures" and select "Insurance Supervision" from the drop-down menu.

Application for a specialised procedure



Specialised procedure

Specialised procedure:

Refresh / Submit

- AIFMD-Reporting
- Announcement (sections 37 et seq. WpHG)
- Article 15 (2) Regul. (EU) No. 149/2013
- Article 4 (2) EMIR international
- Article 4 (2) EMIR national
- Employee and complaints register
- Filing of Final Terms
- Insurance Supervision**
- Insurance Supervision - Solvency II
- KUSTA/DTB
- Net short positions
- Notifications section 15 WpHG
- Notifications section 30c WpHG
- Notifications section 30e WpHG
- Notifications section 312 KAGB (UCITS)
- Notifications section 331 KAGB (AIF)
- Notifications section 38 DerV
- Prospectuses (WpPG / VermAnlG)
- Register of tied agents
- Transaction reporting (section 9 WpHG)
- WM Data service
- TEST: AIFMD-Reporting
- TEST: Announcement (sections 37 et seq. WpHG)
- TEST: Article 15 (2) Regul. (EU) No. 149/2013
- TEST: Article 4 (2) EMIR international
- TEST: Article 4 (2) EMIR national
- TEST: Employee and complaints register
- TEST: Filing of Final Terms
- TEST: Insurance Supervision

Screenshot 2 Application for specialised procedure "Insurance Supervision"

On the next page, you are required to select the capacity in which you wish to make submissions:

Direct notifier² (notifying party is person/entity subject to the notification requirement or contact person of such person/entity)

or

Third-party notifier for a company (notifying party is itself a third-party notifier or a contact person of a third-party notifier).

² Direct notifiers please insert as handwritten entry under "Reference" on the print-out of your application form the four-digit registration number of the undertaking on whose behalf you submit notifications. In the future, this number will be inserted electronically by the system into the application form for direct notifiers.

Application for a specialised procedure

Specialised procedure

Specialised procedure: *
* mandatory field

Notifying party

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

Screenshot 3 Distinction between direct notifier and third-party notifier

Please fill in the mandatory fields. Third-party notifiers should in particular make sure to insert the *details on the party subject to the notification requirement (undertaking)*. Once the process is completed, you will receive an application form (PDF file). In the next step, please print out the application form, sign it as required, and send it to the following address:

Bundesanstalt für Finanzdienstleistungsaufsicht
Referat VA 53
Graurheindorfer Str. 108
Bonn
Deutschland/Germany

Important note: If you apply for an authorisation to submit notifications on behalf of another undertaking as an authorised third party, i.e. the undertaking of the notifying party and the (insurance) undertaking subject to the notification requirement are two different entities, please enclose an **authorisation of the undertaking subject to the notification requirement (guarantor)** to your written application. This authorisation must contain information on the undertaking subject to the notification requirement, including contact details, the signature of its managing directors, the authorised third party (i.e. the undertaking of the notifying party), including contact details, and the specialised procedure (here: "Insurance Supervision").

Proposed wording of the authorisation, version_1:

The undertaking subject to the notification requirement, X, domiciled in Y (insert name and domicile of the undertaking subject to the notification requirement here) herewith authorises undertaking Z (insert name of the notifying undertaking here) to submit

notifications electronically on behalf of *undertaking X* for the specialised procedure "Insurance Supervision" using the MVP Portal of the Federal Financial Supervisory Authority.

Proposed wording of the authorisation, version_2:

The undertaking subject to the notification requirement, X, domiciled in Y (insert name and domicile of the undertaking subject to the notification requirement here) herewith authorises the employee(s) *Mr Peter Müller, Ms Sandra Meyer of undertaking Z* (insert the names of the notifying persons of the notifying undertaking here) to submit notifications electronically on behalf of *undertaking X* for the specialised procedure "Insurance Supervision" using the MVP Portal of the Federal Financial Supervisory Authority.

Once the documents (written application and, if necessary, authorisation) required to apply for the specialised procedure "Insurance Supervision" have been received, BaFin compares the data provided electronically with the data already stored at BaFin, in particular the data pertaining to the undertaking subject to the notification requirement/guarantor. In the event of successful verification, BaFin activates the applicant's account for the specialised procedure and the respective party subject to the notification requirement (guarantor). The applicant will then receive an e-mail from BaFin confirming the account activation. For practical instructions regarding application for a specialised procedure, please refer to the *MVP Portal User Manual* (link:

<http://www.bafin.de/SharedDocs/Downloads/DE/dl_mvp-portal_handbuch.pdf?__blob=publicationFile&v=4>).

(3) Submission for a selected sub-procedure

Once BaFin has activated your account for the specialised procedure "Insurance Supervision" you can submit the notifications described above.

Technically speaking, there are different ways to submit notifications:

- a. **By using the Web Service (SOAP):** For detailed information about how to install and configure a web service client, about accessing the Web Service and about authentication (using WebService Security), please refer to the SOAP Web Service User Manual, which you can find on BaFin's website under MVP Portal -> Manuals (link: <http://www.bafin.de/SharedDocs/Downloads/DE/dl_mvp-portal_web-service_handbuch.pdf?__blob=publicationFile&v=6>).

The **WSDL and XSD files** you need to participate in the specialised procedure "Insurance Supervision" can be downloaded at the following URL: <https://portal.mvp.bafin.de:444/services/ws/va?wsdl> (link).

For the purpose of **authentication**, the SOAP request must contain the user name under which you registered with the MVP Portal, followed by "#" and the ID of the insurance undertaking subject to the notification requirement (guarantor). To obtain the ID of the insurance undertaking subject to the notification requirement, go to the MVP Portal, click "Submit notification" and select the required submission and undertaking. The ID is then displayed on the right-hand side of the screen (e.g. hg_02_12345678).

Submit a report

Specialised procedure

Specialised procedure: =
* mandatory field

Registered entities subject to the notification requirement

Entity subject to the notification requirement: =
* mandatory field

Report

Report: =
* mandatory field

i To submit large number reports or make automated reports via a web service you have to know the identification number for your entity subject to the notification requirement. The identification number of the current entity **subject to the notification requirement is: hg_03_8458298184**

For more information on this topic please refer to the [documentation](#).

Screenshot 4 How to find the guarantor ID in the info box on the MVP Portal

In the SOAP header, the information is then entered as in the following example:
<wsse:Username>max.mustermann0024#hg_02_12345678</wsse:Username>

- b. **By file upload:** Instead of submitting notifications automatically by using the Web Service, you can also upload files manually. First, you have to log in to the MVP Portal with your access data. Information on how to register with and log in to the MVP Portal can be found in the sections above and in the *MVP Portal User Manual* (link: < http://www.bafin.de/SharedDocs/Downloads/DE/dl_mvp-portal_handbuch.pdf?__blob=publicationFile&v=4>).
- Then you have to select the undertaking subject to the notification requirement (guarantor) and the sub-procedure for which you wish to submit a notification.

Submit a report

Specialised procedure

Specialised procedure: *
* mandatory field

Registered entities subject to the notification requirement

Entity subject to the notification requirement: *
* mandatory field

Report

Report: *

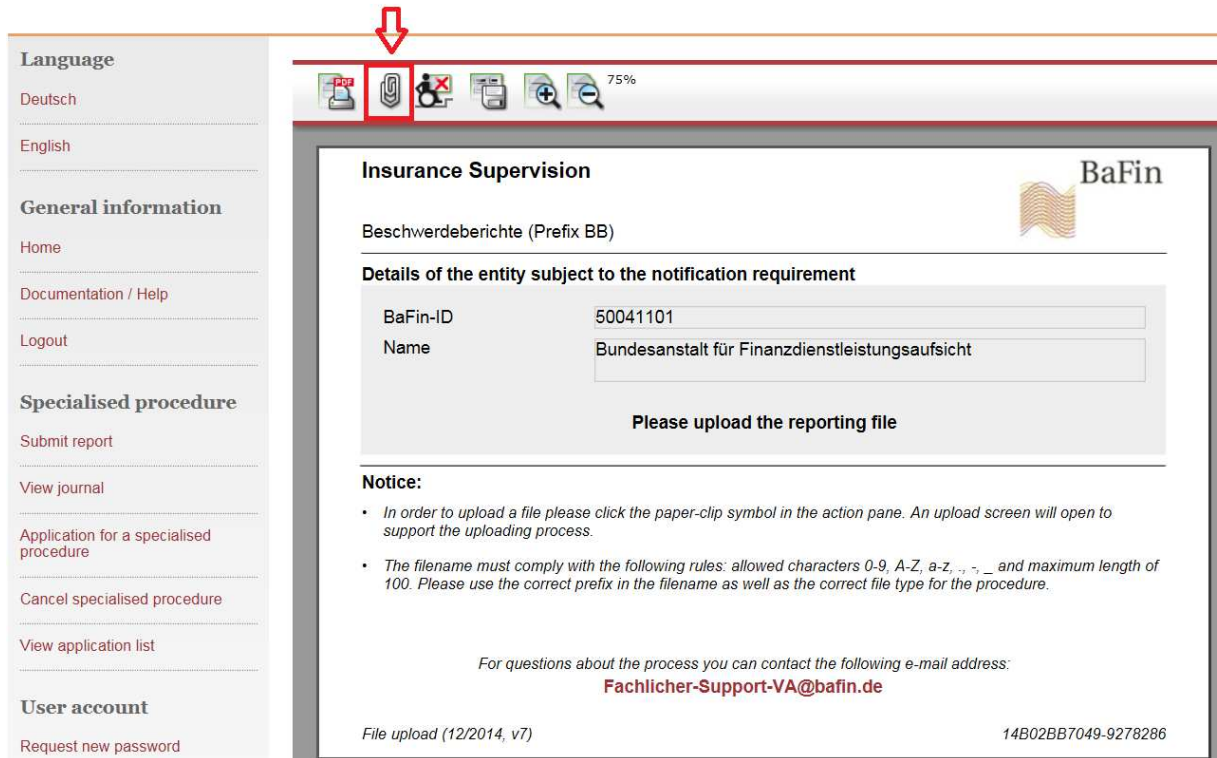
Submit form

Please click here to submit your report

- Ad-hoc Abfragen (Prefix ADHOC)
- BerVersV/BerPensV/Rundschreiben per DÜVA
- Beschwerdeberichte (Prefix BB)**
- Besondere Verwendung (Prefix BESV)
- KA-Sammelverfügung (Prefix BW1 to BW5)
- Krawatte (Prefix KR)
- Prognoserechnung (Prefix SR/SZ)
- Rechnungszins KV (Prefix AUZ)
- Risikoberichte (Präfix RI)
- Sonderabfragen KV (Prefix SAKVU)
- Stresstest (Prefix ST)
- Technische Berechnungsgrundlagen (Prefix TB)
- Vollerhebung KV 2014 (Prefix VEKVU)
- Vollerhebung LV 2014 (Prefix VELVU)
- Zinsgarantieabfrage PK (Prefix PKZG)
- Zinsgarantien LV (Prefix ZG)

Screenshot 5 Selecting the undertaking subject to the notification requirement (guarantor) and the submission

On the next page, a form, please click on the "paperclip" symbol (red arrow).



Screenshot 6 Upload area part I: Click on the paperclip symbol

In the ensuing dialogue box you can select the file to be submitted from your filing system and upload it to the MVP Portal by clicking the respective button. For technical reasons, the upload area had to be divided into two pages.



Logged in as: user:BaFinRealm01/uid=vornametest.nachnametest0652,cn=externalUsers

Manage Attachments

Close

Here you can attach files to your form.

There are the following restrictions:

- No more than 1 attachments are allowed.
- An attached file must not be over 209716 kB in size.
- Only attachments with the extension gz, zip, pdf, doc, docx, xls, xlsx, txt, csv are allowed.

These files are attached to the form:

No.	Filename	kB	Actions
No files attached yet!			

Attach file:

Screenshot 7 Upload area part II: Select the file to be submitted from the filing system

Important:

1. Depending on the desired sub-procedure, only files of a certain file type may be uploaded manually to the MVP Portal or submitted via the Web Service as a Base64 encoded string in the payload of the SOAP request. The following **file types** are permitted:
 - a. Submission "**Krawatte** (Prefix KR)": ".zip"
 - b. Submission "**Vollerhebung LV 2014** (Prefix VELVU)": ".doc" / ".docx" / ".xls" / ".xlsx"
 - c. Submission "**Vollerhebung KV 2014** (Prefix VEKVU)": ".doc" / ".docx" / ".xls" / ".xlsx"
 - d. Submission "**Besondere Verwendung** (Prefix BESV)": ".doc" / ".docx" / ".xls" / ".xlsx" / ".pdf" / ".txt" / ".csv" / ".zip" / ".gz"
 - e. Submission "**Beschwerdeberichte (Prefix BB)**": ".doc" / ".docx" / ".xls" / ".xlsx" / ".pdf"
 - f. All **other submissions**: ".zip" / ".gz"

Technical information: For packed files (.zip and .gz), only the *store* and *deflating* compression algorithms are permitted. In most cases, *deflating* is the default setting. Should you receive an unclear error message regarding the contents and structure of the zip archive, please make sure that the names of the files contained in the zip archive are correct. It might also be helpful to check whether your file compression tool can handle this method.

2. All files, i.e. any single files, packed container files (.zip or .gz) **and** any **files contained therein** must comply with **general naming conventions**. With regard to container files, this applies both to the file name when the files are uploaded manually and to the data field "file name" in the SOAP Header when using the SOAP Web Service. Therefore, the file name must
 - a. not contain any relative path specifications;
 - b. contain only letters, digits, dots, dashes and underscores. Blank characters, control characters and special characters are not permitted.
 - c. not consist of more than 100 characters (including file extension).
3. The packed container file (.zip or .gz) **and** any files contained therein must – depending on the desired sub-procedure – **comply with the following additional naming conventions (incl. prefixes)**. "9999" is a placeholder for the unique registration number of the undertaking subject to the notification requirement:
 - a. **Ad-hoc-Abfragen (Prefix ADHOC)**: "ADHOC_" + 9999 + "_" + file name
 - b. **Beschwerdeberichte (Prefix BB)**: "BB_" + 9999 + "_" + file name
 - c. **Rechnungszins KV (Prefix AUZ)**: "AUZ_" + 9999 + "_" + file name
 - d. **KA-Sammelverfügung (Prefix BW1 to BW5)**: "BW" + "1"|"2"|"3"|"4"|"5" + "_" + 9999 + "_" + file name (the digits before and after the first "_" should be identical.)

- e. **BerVersV/BerPensV/Rundschreiben per DÜVA**: "VU_" + 9999 + "_" + file name
- f. **Besondere Verwendung (Prefix BESV)**: "BESV_" + 9999 + "_" + file name
- g. **Krawatte (Prefix KR)**, applies to the zip file (the file contained therein is to be named in accordance with any other content-related specifications): "KR_" + 9999 + "_" + YYYY + "_" + YYYYMMDDhhmmss + ".zip"
- h. **Zinsgarantieabfrage PK (Prefix PKZG)**: "PKZG_" + 9999 + "_" + file name
- i. **Risikoberichte (Prefix RI)**: "RI_" + 9999 + "_" + file name
- j. **Sonderabfragen KV (Prefix SAKVU)**: "SAKVU_" + 9999 + "_" + file name
- k. **Stresstest (Prefix ST)**: "ST_" + 9999 + "_" + file name
- l. **Vollerhebung LV 2014 (Prefix VELVU)**: "VELVU_" + 9999 + "_" + file name
- m. **Vollerhebung KV 2014 (Prefix VEKVU)**: "VEKVU_" + 9999 + "_" + file name
- n. **Prognoserechnung (Prefix SR)**: "SR_"|"SZ_" + 9999 + "_" + file name
- o. **Zinsgarantien LV (Prefix ZG)**: "ZG_" + 9999 + "_" + file name
- p. **Technische Berechnungsgrundlagen**: "TB_" + 9999 + "_" + file name

Example for a correct file name in the submission "Kapitalanlage-Sammelverfügung (KA-Sammelverfügung)":

File name of the zip archive: BW1_1234_3Q2013.zip, containing the files BW1_1234_Fonds_3Q2013.pdf, BW1_1234_Uebersicht.pdf and BW1_1234_Streuung_3Q2013.xlsx. In the above example the naming conventions have been observed, as the file name contains the correct prefix (**BW1_**), the number of the prefix and the first digit of the registration number are identical (**BW1_1234**) and it does not contain any umlauts or blank characters. Furthermore, the names of the files contained in the zip archive also comply with the naming conventions.

During file transfer (manual upload and Web Service), the MVP Portal verifies if the above-mentioned naming conventions have been observed. If this is not the case, the file and/or the request will be rejected.

Important: The message you get following upload only confirms correct transmission of the container file (.zip/.gz). The contents of the container file are checked afterwards. If the naming convention has not been observed, the file will be rejected in that second step. Therefore BaFin strongly recommends that you check under "View journal" as to your notification has been accepted by the system (see below, success message -> status: "Notification accepted"). This process takes a few minutes. Your notification has been transmitted to BaFin successfully only if it has the status "Notification accepted". Should the transmission have failed (status: "Notification contains errors"), the notification

is deemed not yet submitted and must be uploaded again (with the correct file name).

View journal

Language

Deutsch

English

General information

Home

Documentation / Help

Logout

Specialised procedure

Submit report

View journal

Application for a specialised procedure

Cancel specialised procedure

View application list

User account

Request new account

Filter

Date of report from: (DD/MM/YYYY)

Date of report to: (DD/MM/YYYY)

Specialised procedure:

Person/entity subject to the notification requirement:

Status:

Filename: (Wildcards ***, *? allowed)

Client reference: (Wildcards ***, *? allowed)

Id	Date of report	Specialised procedure	Report	Person/entity subject to the notification requirement	Client reference	Reporting channel	Filename	Status
				Feedback (text)		Feedback (file)		
17828	11/12/2014 10:52:49	Insurance Supervision	Beschwerdeberichte (Prefix BB)	Bundesanstalt für Finanzdienstleistungsaufsicht, Frankfurt am Main		Web form	BB_1234_MeinBeschwerdebericht.pdf	Report accepted
17827	11/12/2014 10:52:17	Insurance Supervision	Beschwerdeberichte (Prefix BB)	Bundesanstalt für Finanzdienstleistungsaufsicht, Frankfurt am Main		Web form	BB_1234_MeinBeschwerdebericht.xls	Report accepted
17826	11/12/2014 10:51:45	Insurance Supervision	Beschwerdeberichte (Prefix BB)	Bundesanstalt für Finanzdienstleistungsaufsicht, Frankfurt am Main		Web form	BB_1234_MeinBeschwerdebericht.xlsx	Report accepted
17825	11/12/2014 10:51:14	Insurance Supervision	Beschwerdeberichte (Prefix BB)	Bundesanstalt für Finanzdienstleistungsaufsicht, Frankfurt am Main		Web form	BB_1234_MeinBeschwerdebericht.docx	Report accepted

Screenshot 8 View journal: As a last step, please check the status of your notification!