

Additional information regarding the MVP Portal SOAP Web Service for the specialized procedure “Transaction reporting (article 26 MiFIR)”

1 Introduction

For the specialized procedure “Transaction reporting (article 26 MiFIR)” the “User Manual SOAP Web Service” applies. Differing or additional points will be discussed in the following chapters.

Further information regarding the specialized procedure “Transaction reporting (article 26 MiFIR)” is available in the respective MVP section of the BaFin website (https://www.bafin.de/EN/DieBaFin/Service/MVPportal/26MiFIR/26MiFIR_node_en.html).

2 Accessing the Web Service

For the procedure “Transaction reporting (article 26 MiFIR)” the following Web Service endpoints are available:

Test procedure

https://portal.mvp.bafin.de:444/services/ws/t_a26mifir

Procedure

<https://portal.mvp.bafin.de:444/services/ws/a26mifir>

To download interface descriptions and the associated XSD files, add “?wsdl” to the end of the URLs listed above, e.g.:

<https://portal.mvp.bafin.de:444/services/ws/a26mifir?wsdl>

Please make sure to use the relevant XSDs, which can be downloaded here (the example given below is for A26MiFIR; the respective XSDs are linked in the WSDL file):

<https://portal.mvp.bafin.de:444/services/ws/a26mifir.xsd1.xsd>

<https://portal.mvp.bafin.de:444/services/ws/a26mifir.xsd2.xsd>

<https://portal.mvp.bafin.de:444/services/ws/a26mifir.xsd3.xsd>

3 Procedures Requiring Attachments (MTOM¹)

For the specialized procedure "Transaction reporting (article 26 MiFIR)", it is expected that data be sent as an MTOM attachment. For this procedure, MTOM attachments must be used and the attached file must be in its original format without any encoding or compression (e.g. for A26MiFIR attachments must be XML). The file must not be compressed, base64-encoded or otherwise converted, such as quoted-printable, Unicode encoded/transformed.

In the element `<datei>` an XOP-Include element will reference the file that is sent as a binary attachment.

To reduce the amount of data transmitted, it is imperative to compress the SOAP request with HTTP Compression (RFC 2616). For compatibility reasons, only the "gzip" compression method is permitted.

Example "Transaction reporting (article 26 MiFIR)" (A26MiFIR):

```
<soapenv:Envelope xmlns:a26mifir="http://www.bafin.de/mvp/a26mifir/"
  xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  <soapenv:Header>
    <wsse:Security soapenv:mustUnderstand="1" xmlns:wsse="http://docs.oasis-
open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd"
  xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
    <wsse:UsernameToken wsu:Id="UsernameToken-
44C3662D584567FE6A14672949268541">
      <wsse:Username>karl.meier1234#hg_05_1234567890</wsse:Username>
      <wsse:Password Type="http://docs.oasis-open.org/wss/2004/01/oasis-
200401-wss-username-token-profile-1.0#PasswordText">XXXXXXXXXX</wsse:Password>
      <wsse:Nonce EncodingType="http://docs.oasis-open.org/wss/2004/01/oasis-
200401-wss-soap-message-security-
1.0#Base64Binary">+WifMh5kFw/1fHgMahFu7A==</wsse:Nonce>
      <wsu:Created>2016-06-30T13:55:26.852Z</wsu:Created>
    </wsse:UsernameToken>
  </wsse:Security>
</soapenv:Header>
<soapenv:Body>
  <a26mifir:submitDATTRA>
    <inDATTRA>
      <a26mifir:dateiname>A26MiFIR_Testfile_001.xml</a26mifir:dateiname>
    </inDATTRA>
    <!--Optional:-->
    <kundenreferenz>ClientRef_001</kundenreferenz>
    <datei><inc:Include href="cid:139580394822"
  xmlns:inc="http://www.w3.org/2004/08/xop/include"/></datei>
```

¹ SOAP Message Transmission Optimization Mechanism (MTOM) is the W3C recommendation for the transmission of binary data within Web services.

```
</a26mifir:submitDATTRA>  
</soapenv:Body>  
</soapenv:Envelope>
```

Example "Transaction reporting (article 26 MiFIR)" - HTTP-Request in Raw-Format:

```
POST https://portal.mvp.bafin.de:444/services/ws/t_a26mifir HTTP/1.1  
Content-Encoding: gzip  
Accept-Encoding: gzip, deflate  
Content-Type: multipart/related; type="application/xop+xml";  
  start="<rootpart@soapui.org>"; start-info="text/xml"; boundary="----  
  =_Part_3_19706996.1467294979823"  
SOAPAction: "http://www.bafin.de/mvp/a26mifir/submitDATTRA"  
MIME-Version: 1.0  
Transfer-Encoding: chunked  
Host: portal.mvp.bafin.de:444  
Connection: Keep-Alive  
User-Agent: Apache-HttpClient/4.1.1 (java 1.5)  
  
-----=_Part_3_19706996.1467294979823  
Content-Type: application/xop+xml; charset=UTF-8; type="text/xml"  
Content-Transfer-Encoding: 8bit  
Content-ID: <rootpart@soapui.org>  
  
<soapenv:Envelope xmlns:a26mifir="http://www.bafin.de/mvp/a26mifir /"  
  xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/">  
  <soapenv:Header>  
    <wsse:Security soapenv:mustUnderstand="1" xmlns:wsse="http://docs.oasis-  
open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd"  
    xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-  
utility-1.0.xsd">  
      <wsse:UsernameToken wsu:Id="UsernameToken-  
44C3662D584567FE6A14672949268541">  
        <wsse:Username>karl.meier1234#hg_05_1234567890</wsse:Username>  
        <wsse:Password Type="http://docs.oasis-open.org/wss/2004/01/oasis-  
200401-wss-username-token-profile-1.0#PasswordText">XXXXXXXXXX</wsse:Password>  
        <wsse:Nonce EncodingType="http://docs.oasis-open.org/wss/2004/01/oasis-  
200401-wss-soap-message-security-  
1.0#Base64Binary">+WifMh5kFw/lfHgMahFu7A==</wsse:Nonce>  
        <wsu:Created>2016-06-30T13:55:26.852Z</wsu:Created>  
      </wsse:UsernameToken>  
    </wsse:Security>  
  </soapenv:Header>  
  <soapenv:Body>  
    <a26mifir:submitDATTRA>  
      <inDATTRA>  
        <a26mifir:dateiname>A26MiFIR_Testfile_001.xml</a26mifir:dateiname>  
      </inDATTRA>
```

```
<!--Optional:-->
<kundenreferenz>ClientRef_001</kundenreferenz>
<datei><inc:Include href="cid:139580394822"
xmlns:inc="http://www.w3.org/2004/08/xop/include"/></datei>
</a26mifir:submitDATINS>
</soapenv:Body>
</soapenv:Envelope>
-----_Part_3_19706996.1467294979823
Content-Type: application/octet-binary;
  name=A26MiFIR_Testfile_001.xml
Content-Transfer-Encoding: binary
Content-ID: <139580394822>
Content-Disposition: attachment; name=" A26MiFIR_Testfile_001.xml"; filename="
  A26MiFIR_Testfile_001.xml"

... Inhalt der XML-Datei ...
-----_Part_3_19706996.1467294979823-
```

Note:

The body of the request is "gzip" compressed according to the requirements of the procedure. However, in the above example, the body is shown uncompressed, so that the content of the request is visible.

4 Response from the Web Service

In the case of a positive response from the web service, the Message ID, timestamp and, if provided in the SOAP request, the customer reference is returned. The response from the Web Service is digitally signed with the current server certificate (with WS-Security header from OASIS Standard 200401, WSS X.509 Certificate Token Profile 1.0). For a positive response, the HTTP Response code is "200 OK".

An example of a positive response:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/">
  <soapenv:Header>
    <wsse:Security xmlns:wsse="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd">
      <wsu:Timestamp wsu:Id="Timestamp-44ad7260-88f4-4c5a-ba2f-fb1a55b12bff"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd">
        <wsu:Created>2016-06-30T14:40:29Z</wsu:Created>
        <wsu:Expires>2016-06-30T14:45:29Z</wsu:Expires>
      </wsu:Timestamp>
      <wsse:BinarySecurityToken wsu:Id="SecurityToken-5d32bf58-a935-483e-b2a4-0f0cc18e03a4"
EncodingType="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-soap-message-security-1.0#Base64Binary"
ValueType="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-x509-token-profile-1.0#X509v3"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
```

```
utility-1.0.xsd">MIIFbjCCBFagAwIBAgISESEJvgI58ksWFBUKjo3cqK7BMA0GCSqGSIB [...]
</wsse:BinarySecurityToken>
  <Signature xmlns="http://www.w3.org/2000/09/xmldsig#">
    <SignedInfo>
      <CanonicalizationMethod Algorithm="http://www.w3.org/2001/10/xml-
exc-c14n#" />
      <SignatureMethod Algorithm="http://www.w3.org/2000/09/xmldsig#rsa-
sha1" />
      <Reference URI="#Timestamp-44ad7260-88f4-4c5a-ba2f-fb1a55b12bff">
        <Transforms>
          <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#" />
        </Transforms>
        <DigestMethod Algo-
rithm="http://www.w3.org/2000/09/xmldsig#sha1" />
          <DigestValue>tULtGdhVigOpt5RaMUWq5/x68a8=</DigestValue>
        </Reference>
      <Reference URI="#Body-27e17a5c-ff0e-4e83-98e4-709aaed77a56">
        <Transforms>
          <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#" />
        </Transforms>
        <DigestMethod Algo-
rithm="http://www.w3.org/2000/09/xmldsig#sha1" />
          <DigestValue>78VF8TPagIKHWJ31iZVXns+s57I=</DigestValue>
        </Reference>
      </SignedInfo>
    <SignatureVal-
ue>yOJxZW0oc7FZM8PHCZaKdXaXaBd098L+EWT4eJEv0EbDLejy8o9laf07 [...]
</SignatureValue>
  <KeyInfo>
    <wsse:SecurityTokenReference xmlns="">
      <wsse:Reference URI="#SecurityToken-5d32bf58-a935-483e-b2a4-
0f0cc18e03a4" ValueType="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-
x509-token-profile-1.0#X509v3" />
    </wsse:SecurityTokenReference>
  </KeyInfo>
</Signature>
</wsse:Security>
</soapenv:Header>
<soapenv:Body wsu:Id="Body-27e17a5c-ff0e-4e83-98e4-709aaed77a56"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
  <p:submitDATINSResponse xmlns:p="http://www.bafin.de/mvp/a26mifir/">
    <out>
      <p:meldungsId>3917098</p:meldungsId>
      <p:meldezeitpunkt>2016-06-30T14:41:48.896Z</p:meldezeitpunkt>
      <p:kundenreferenz>ClientRef_001</p:kundenreferenz>
    </out>
  </p:submitDATINSResponse>
```

```
</soapenv:Body>  
</soapenv:Envelope>
```

In the event of a negative response, an appropriate error message will be sent in the response (HTTP Response code "500 Internal Server Error").

An example of a negative response:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"  
  xmlns:kd4="http://www.ibm.com/KD4Soap">  
  <soapenv:Header>  
    <wsse:Security xmlns:wsse="http://docs.oasis-open.org/wss/2004/01/oasis-  
200401-wss-wssecurity-secext-1.0.xsd">  
      <wsu:Timestamp wsu:Id="Timestamp-afafb0a4-8caf-4282-8223-d6fbeccb3fd9"  
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-  
utility-1.0.xsd">  
        <wsu:Created>2016-06-30T14:52:00Z</wsu:Created>  
        <wsu:Expires>2016-06-30T14:57:00Z</wsu:Expires>  
      </wsu:Timestamp>  
      <wsse:BinarySecurityToken wsu:Id="SecurityToken-ca2c2bc0-1259-434e-8c1e-  
0e5ca06f7a0b" EncodingType="http://docs.oasis-open.org/wss/2004/01/oasis-200401-  
wss-soap-message-security-1.0#Base64Binary" ValueType="http://docs.oasis-  
open.org/wss/2004/01/oasis-200401-wss-x509-token-profile-1.0#X509v3"  
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-  
utility-  
1.0.xsd">MIIFbjCCBFagAwIBAgISESEJvgI58ksWFBUKjo3cqK7BMA0GCSqGSIb3DQEBCwUAM [...]  
</wsse:BinarySecurityToken>  
      <Signature xmlns="http://www.w3.org/2000/09/xmldsig#">  
        <SignedInfo>  
          <CanonicalizationMethod Algorithm="http://www.w3.org/2001/10/xml-  
exc-c14n#" />  
          <SignatureMethod Algorithm="http://www.w3.org/2000/09/xmldsig#rsa-  
sha1" />  
          <Reference URI="#Timestamp-afafb0a4-8caf-4282-8223-d6fbeccb3fd9">  
            <Transforms>  
              <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-  
c14n#" />  
            </Transforms>  
            <DigestMethod Algo-  
rithm="http://www.w3.org/2000/09/xmldsig#sha1" />  
            <DigestValue>IH6Op5mcrb/o8UAeZ9I5FdZDieo=</DigestValue>  
          </Reference>  
          <Reference URI="#Body-80da7e78-ece0-4fa8-a9f4-119be07e8a93">  
            <Transforms>  
              <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-  
c14n#" />  
            </Transforms>  
            <DigestMethod Algo-  
rithm="http://www.w3.org/2000/09/xmldsig#sha1" />
```

```
        <DigestValue>d9T7FQ8rUu/mGpXrONlYY0iwJLo=</DigestValue>
      </Reference>
    </SignedInfo>
    <SignatureValue>WjSE0XB127C9V60bGxBy8Z033hVYz7hUt6ZSkQY2reeCAUrba [...]
  </SignatureValue>
  <KeyInfo>
    <wsse:SecurityTokenReference xmlns="">
      <wsse:Reference URI="#SecurityToken-ca2c2bc0-1259-434e-8c1e-
0e5ca06f7a0b" ValueType="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-
x509-token-profile-1.0#X509v3"/>
    </wsse:SecurityTokenReference>
  </KeyInfo>
</Signature>
</wsse:Security>
</soapenv:Header>
<soapenv:Body wsu:Id="Body-80da7e78-ece0-4fa8-a9f4-119be07e8a93"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
  <soapenv:Fault>
    <faultcode>soap:Client</faultcode>
    <faultstring>A26MiFIR:
https://portal.mvp.bafin.de:444/services/ws/a26mifir: cvc-simple-type 1: element
{http://www.bafin.de/mvp/a26mifir/}dateiname value 'A26MIFIR_test.xml' is not a
valid instance of type
{http://www.bafin.de/mvp/a26mifir/}dateinameA26mifirDATTRAType</faultstring>
  </soapenv:Fault>
</soapenv:Body>
</soapenv:Envelope>
```