Federal Financial Supervisory Authority

BaFin

Reporting and Publishing Platform (MVP Portal)

SOAP Web Service

22 December 2022

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1 SOAP web service

1.1 Requirements

If you would like to submit reports to the Federal Financial Supervisory Authority (*Bundesanstalt für Finanzdienstleistungsaufsicht* – BaFin) in automated form or retrieve the MVP journal, you will need a SOAP-compatible web service client.

You are required to register normally on BaFin's MVP Portal. This is done via the web interface as explained in the general User Manual.

1.2 Configuration

To submit a report via the SOAP interface or to retrieve the journal, you must authenticate yourself to the security gateway. To do this, please provide your username and password. The data transfer is protected by SSL encryption.

When generating web service messages, please use the web service security settings as described in chapter 2.2 (for submitting a report) and chapter 3.2 (for retrieving the journal).

2 SOAP web service (submitting a report)

2.1 Calling the web service

This chapter explains how to call and use the SOAP web service interface. Please make sure to use UTF-8 encoding when transmitting data. To prevent your report from being rejected even before SOAP verification, a valid XML structure must also be used. Otherwise, you will receive an "Internal Error" message.

Every specialised procedure offered by BaFin has its own web service interface. If the specialised procedure you are looking for is not included in the annex linked to below, please refer to the information sheet for the respective specialised procedure or contact the support desk to request the endpoint.

A list of the web service endpoints can be found in the annex at the end of this document:

<div align="center">

[Annex – List of web service endpoints](#)

</div>

2.1.1 Test procedures

Every specialised procedure offered by BaFin has its own test procedure. You can use these test procedures to submit test reports. Such test reports are intended to identify possible sources of errors ahead of time, so that errors can be remedied before the

actual reports are submitted. The test procedures also have their own web service interfaces, which can be recognised by the prefix "t_" (see example for NLP below):

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

2.1.2 Interface description

To download interface descriptions and the associated XSD files, add "**?wsdl**" to the respective URL, e.g.:

https://portal.mvp.bafin.de:444/services/ws/nlp?wsdl

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

https://portal.mvp.bafin.de:444/services/ws/nlp.xsd1.xsd
https://portal.mvp.bafin.de:444/services/ws/nlp.xsd2.xsd

The number of XSD files referenced in the WSDL can vary depending on the specialised procedure.

2.1.3 Interface description following introduction of new metadata structure

The interfaces for new specialised procedures are created on the basis of a newly defined metadata structure and allow for **interface version control**. The new metadata structure is defined using English-language terms. A list showing the previous metadata and the newly defined English metadata side by side can be found in chapter

2.6.1 List of previous and new metadata.

The URLs for interfaces defined using the new metadata structure are different from the previous URLs. They now also contain a part that is used for the interface **version control** option.

The general format of a new URL is as follows:

https://portal.mvp.bafin.de:444/services/sp/v1/<**specialisedProcedureId**>

The part "/services/sp/**v1**/<specialisedProcedureId>" is used for the interface version control option. The possible versions of a new interface would then use the following different URIs:

Version 1:	/services/sp/**v1**/<specialisedProcedureId>
Version 2:	/services/sp/**v2**/<specialisedProcedureId>
Version 3:	/services/sp/**v3**/<specialisedProcedureId>

To download the interface descriptions and the associated XSD files of the respective interfaces defined using the new metadata, add "**?wsdl**" onto the above URLs. As an example, the **specialisedProcedureId** in the specialised procedure "MMF Reporting (Article 37)" is mmf37.

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This means that the URL for the interface description for the specialised procedure "**MMF Reporting (Article 37)**" defined using the new metadata is as follows:

https://portal.mvp.bafin.de:444/services/sp/v1/**mmf37**?wsdl

Please make sure to use the relevant XSDs, which can be downloaded here (the example given below is for MMF37; the respective XSDs are linked in the WSDL file):

https://portal.mvp.bafin.de:444/services/sp/v1/mmf37.xsd1.xsd
https://portal.mvp.bafin.de:444/services/sp/v1/mmf37.xsd2.xsd
https://portal.mvp.bafin.de:444/services/sp/v1/mmf37.xsd3.xsd

The number of XSD files referenced in the WSDL can vary depending on the specialised procedure.

In the annex linked to below you can see the web services that are affected by these changes. The word "**yes**" is entered into the column "**New metadata structure**" if these changes apply:

Annex – List of web service endpoints

2.2 Authentication

Users are required to provide authentication by using a WS-Security header (in line with OASIS Standard 200401, WSS UsernameToken Profile 1.0):

- **wsse:Security**
    - **wsse:UsernameToken**
        - **wsse:Username**
          Username for registration on the MVP Portal, followed by "#" and ID of the liable entity (entity subject to the notification/reporting requirement)
        - **wsse:Password**
          Password for registration on the MVP Portal

The following example shows a valid header:

```
<wsse:Security soap:mustUnderstand="1" xmlns:wsse="http://docs.oasis-
  open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd">

  <wsse:UsernameToken wsu:Id="UsernameToken-1" xmlns:wsu="http://docs.oasis-
  open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd">

      <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:UsernameToken>
</wsse:Security>
```

For successful authentication, three values must be entered (highlighted in red in the box above):
- Username for the MVP Portal
- ID of the liable entity (entity subject to the notification/reporting requirement)
- Password for the MVP Portal

The username and ID of the liable entity must be entered in the UsernameToken field, separated by a hash symbol (#).

The ID of the liable entity serves to identify the company on behalf of which the report is being submitted. You can request this ID on the MVP Portal by logging onto the Portal, choosing the menu item "Submit a report" and selecting the specialised procedure and the entity subject from the drop-down menus. On the right hand side, a blue information box containing the ID (highlighted in red) will appear:

If one or both of the values entered for the elements "wsse:Username" and "wsse:Password" are incorrect or missing, the following error message will be returned:

```
<soap:Envelope xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/">
 <soap:Body wsu:Id="Body-72f39d6d-707a-4739-802b-c8a8ce7ff569"
   xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
   utility-1.0.xsd">
     <soap:Fault>
        <faultcode>soap:Client</faultcode>
        <faultstring>
            The username, password or identification number is incorrect.
        </faultstring>
     </soap:Fault>
   </soap:Body>
</soap:Envelope>
```

2.3 Example of a syntactically correct SOAP message using the previous metadata structure

A syntactically correct message for the specialised procedure "Net short positions" (NLP) is shown below:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:net="http://www.bafin.de/mvp/nettoleerverkauf"
  xmlns:nlp="http://www.bafin.de/mvp/nlp/">
  <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">
           <wsse:UsernameToken wsu:Id="UsernameToken-1"
  xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
  utility-1.0.xsd">
                   <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:UsernameToken>
     </wsse:Security>
  </soapenv:Header>
  <soapenv:Body>
     <net:sendeMeldungEU>
        <nlpMeldung>
                <!--1 to 2000 repetitions:-->
                <nlp:nlpAkt>
                     <nlp:meldedatum>2012-11-21</nlp:meldedatum>
                     <nlp:isin>DE0005557508</nlp:isin>
                     <nlp:emittent>Deutsche Telekom AG</nlp:emittent>
                     <nlp:positionsdatum>2012-11-20</nlp:positionsdatum>
                     <nlp:anzahlAktien>123456789</nlp:anzahlAktien>
                     <nlp:gehalteneNlp>2.3</nlp:gehalteneNlp>
                     <!--Optional:-->
                     <nlp:vorherigeMeldungDatum>2012-11-
  15</nlp:vorherigeMeldungDatum>
                     <!--Optional:-->
                     <nlp:anmerkung/>
                </nlp:nlpAkt>

                <nlp:nlpAkt>
                     <nlp:meldedatum>2012-11-21</nlp:meldedatum>
                     <nlp:isin>DE0007100000</nlp:isin>
                     <nlp:emittent>Daimler AG</nlp:emittent>
                     <nlp:positionsdatum>2012-11-20</nlp:positionsdatum>
                     <nlp:anzahlAktien>345678912</nlp:anzahlAktien>
                     <nlp:gehalteneNlp>1.2</nlp:gehalteneNlp>
                     <!--Optional:-->
                     <nlp:vorherigeMeldungDatum>2012-11-
  13</nlp:vorherigeMeldungDatum>
```
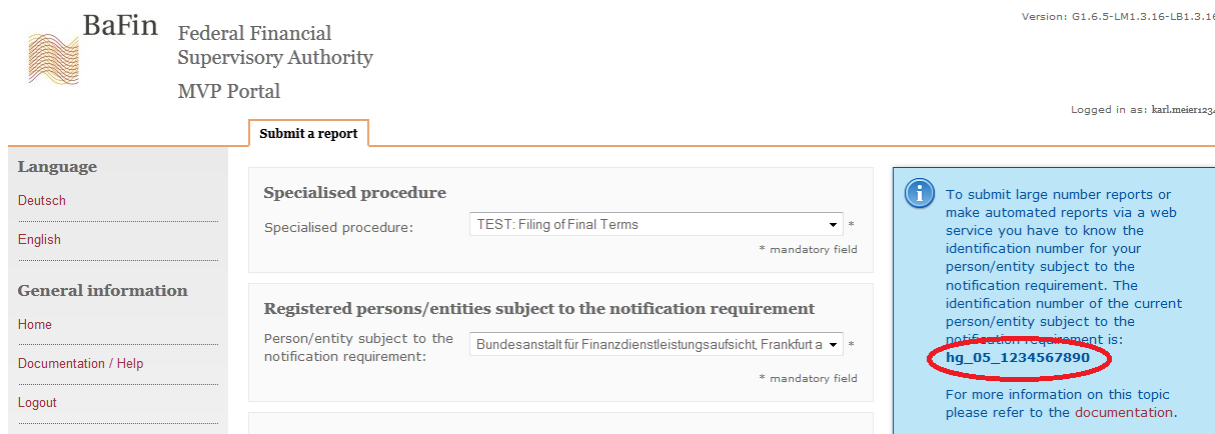
```
                    <!--Optional:-->
                    <nlp:anmerkung/>
                </nlp:nlpAkt>
            </nlpMeldung>
        </net:sendeMeldungEU>
    </soapenv:Body>
</soapenv:Envelope>
```

2.4 Specialised procedures requiring attachments

Some specialised procedures require attachments to be submitted, mostly as PDF, ZIP or GZIP files. These binary files are included in the respective interface tag in the form of Base64-encoded character strings.

Example "Notifications section 26 WpHG":

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:p15="http://www.bafin.de/mvp/p15wphg/">
  <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-1">
          <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">XXXXXXXXX</wsse:Password>
        </wsse:UsernameToken>
    </wsse:Security>
  </soapenv:Header>
  <soapenv:Body>
    <p15:submitP15wphg>
      <p15wphgMeldung>
        <p15:dateiname>P15WPHG_3214_dateiname.zip</p15:dateiname>
      </p15wphgMeldung>
      <datei>UEsDBBQAAAAIABFiZUdd4N7FCgsAAH […]</datei>
    </p15:submitP15wphg>
  </soapenv:Body>
</soapenv:Envelope>
```

2.5 Specialised procedures requiring attachments (MTOM)

Various specialised procedures require files to be attached as MTOM attachments. In these specialised procedures, MTOM is to be used and the file is to be transmitted in its original format (e.g. for A26MiFIR in XML format) without any encoding or compression. This means that the file must not be compressed, encoded in Base64 or encoded or transformed in any other way (e.g. quoted-printable, uuencode).

To reduce the volume of data to be transmitted, it is vital that the request is compressed using HTTP compression (RFC 2616). For reasons of compatibility, only the "gzip" compression method is permitted.

The element `<datei>` uses XOP-Include to reference the actual file transmitted as a binary attachment.

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>
     </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/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>
     </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—
```

Please note:
The body of the request is compressed with the compression technology "gzip" in line
with the requirements. In the example above, however, the body of the request is shown
uncompressed so that the content of the request is visible.

In the annex linked to below you can see the web services that are affected by these
changes. The word "**yes**" is entered into the column "**MTOM file attachment**" if these
changes apply:

<div align="center">

Annex – List of web service endpoints

</div>

2.6   Example of a syntactically correct SOAP message with the new metadata structure

An example of a syntactically correct message for the specialised procedure "MMF
Reporting (Article 37)" is shown below:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:mmf="http://mvp.bafin.de/sp/v1/mmf37/"
  xmlns:dat="http://mvp.bafin.de/sp/v1/mmf37/datm37/">
  <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">
      <wsse:UsernameToken wsu:Id="UsernameToken-1" xmlns:wsu="http://docs.oasis-
open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd">
          <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">XXXXXXXXX</wsse:Password>
      </wsse:UsernameToken>
    </wsse:Security>
  </soapenv:Header>
  <soapenv:Body>
    <mmf:submitDATM37>
      <mmf:reportDATM37>
        <!—Number range and duplicate check for _990000_20.xml
            last two digits represent year, first digits give
            number range, 0000 must be incremented-->
        <dat:filename>NCADE_DATM37_MMF37_990005_23.xml</dat:filename>
      </mmf:reportDATM37>
```

```
        <!-- Optional: -->
        <mmf:clientReference>ENTW_MMF37_TE01</mmf:clientReference>
        <mmf:attachment>cid:NCADE_DATM37_MMF37_990000_20</mmf:attachment>
      </mmf:submitDATM37>
  </soapenv:Body>
</soapenv:Envelope>
```

This specialised procedure uses the new metadata structure. For reasons of simplicity and consistency, the elements of the metadata are now named using English terms.

Furthermore, the specialised procedures that are defined on the basis of the new metadata structure use the **MTOM method** for file attachments.
A description of the MTOM method can be found in chapter 2.5 <u>Specialised procedures requiring attachments (MTOM)</u>.
The "**datei**" element for the file attachment has now been replaced by the newly defined element "**attachment**".

2.6.1. List of previous and new metadata.

Below is a list of the previous and the new metadata side by side for comparison:

Previous metadata	New metadata
meldungsId	reportId
uid	uid
haftungId	entitySubjectToNotificationId
verfahrenId	specialisedProcedureId
formularname	submissionId
meldeweg	reportingChannelId
meldezeitpunkt	reportDate
kundenreferenz	clientReference

There are other changes relating to naming:

Previous	New
in<specialised procedure> e.g. inEbb	report<specialised procedure> e.g. reportDATM37
datei	attachment

The change to the URI described above is shown in the following table:

Previous URI	New URI
/services/ws/nlp	services/sp/v1/mmf37

2.7 Response from the web service

A positive response from the web service transmits the ID of the report:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:net="http://www.bafin.de/mvp/nettoleerverkauf"
  xmlns:nlp="http://www.bafin.de/mvp/nlp/">
  <soapenv:Header/>
  <soapenv:Body>
     <net:sendeMeldungResponse>
          <meldungsId>103707</meldungsId>
     </net:sendeMeldungResponse>
  </soapenv:Body>
</soapenv:Envelope>
```

Some specialised procedures support reports containing a customer reference (reference provided by the notifying party to facilitate identification of the message by the client). In these specialised procedures, a positive response from the web service transmits not only the report ID (*meldungsId*) but also the date and time of submission and the customer reference (if stated in the SOAP message). For reasons of compatibility, this extended response is used only if the customer reference is stated in the SOAP message.

The web service response is digitally signed by means of the valid server certificate (WS Security Header in line with OASIS Standard 200401, WSS X.509 Certificate Token Profile 1.0).

Example "Filing of Final Terms" (EFT):

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:eft="http://www.bafin.de/mvp/eft/">
 <soap:Header xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/">
    <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-a13c16e5-4213-43e7-b04d-008316dd4c50"
  xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
  utility-1.0.xsd">
           <wsu:Created>2014-09-12T14:42:42Z</wsu:Created>
           <wsu:Expires>2014-09-12T14:47:42Z</wsu:Expires>
        </wsu:Timestamp>
        <wsse:BinarySecurityToken wsu:Id="SecurityToken-52da2d20-382f-4b8a-8e0e-
  d4a070d8e7e1" 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">MIIEZDCCA0ygAwIBAgIEMxvUDDANBgkqhkiG9w0BAQUFADB9MQswCQYDVQQGEwJERTEP […]
  </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-a13c16e5-4213-43e7-b04d-008316dd4c50">
               <Transforms>
                  <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
  c14n#"/>
               </Transforms>
               <DigestMethod
  Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                  <DigestValue>u+eJFAlMkFuf8iDrP72cpdZa5AM=</DigestValue>
            </Reference>
            <Reference URI="#Body-24bb6db5-f863-45e2-85c9-cb75f92952fe">
               <Transforms>
                  <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
  c14n#"/>
               </Transforms>
               <DigestMethod
  Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                  <DigestValue>8y6za/A2w1T/n61HCZyozmTL9xs=</DigestValue>
            </Reference>
         </SignedInfo>

  <SignatureValue>w3du99YENznhPYfQ7hO9W9xkQCWRAxS9lFqY99QkkbEY+RT57PbrmExAgTTtF […]
  </SignatureValue>
         <KeyInfo>
            <wsse:SecurityTokenReference xmlns="">
               <wsse:Reference URI="#SecurityToken-52da2d20-382f-4b8a-8e0e-
  d4a070d8e7e1" ValueType="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-
  x509-token-profile-1.0#X509v3"/>
            </wsse:SecurityTokenReference>
         </KeyInfo>
      </Signature>
   </wsse:Security>
 </soap:Header>
 <soapenv:Body wsu:Id="Body-24bb6db5-f863-45e2-85c9-cb75f92952fe"
 xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
 utility-1.0.xsd">
    <eft:submitResponse>
       <meldungsId>103707</meldungsId>
       <meldezeitpunkt>2014-09-12T14:42:42.270Z</meldezeitpunkt>
       <kundenreferenz>RE_A23_0156</kundenreferenz>
    </eft:submitResponse>
 </soapenv:Body>
</soapenv:Envelope>
```

Please note:

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Future specialised procedures will support the use of the customer reference from the outset. All existing specialised procedures will be adapted step by step to include the customer reference. These changes have not yet been scheduled, but the notifying parties will be informed in advance when they are due to take place.

If there are content-related errors in the message, the web service responds with an error message. In this example the value for "p:anzahlAktien" is set to "xxx" instead of "54":

```
<soap:Envelope xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/">
   <soap:Body>
      <soap:Fault>
         <faultcode>soap:Client</faultcode>
         <faultstring>Schema Validation Error: cvc-simple-type 1: element
   {http://www.bafin.de/mvp/nlp_eu/}anzahlAktien value 'xxx' is not a valid instance
   of the element type {http://www.bafin.de/mvp/nlp_eu/}anzahlAktienType
          </faultstring>
      </soap:Fault>
   </soap:Body>
</soap:Envelope>
```

If there are errors in the structure, the error message will look like the following example. Here the tag "nlp:nlpAkt" is given as "nlp:nlpAkt123":

```
<soap:Envelope xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/">
   <soap:Body>
      <soap:Fault>
            <faultcode>soap:Client</faultcode>
            <faultstring>Schema Validation Error: cvc-particle 3.1: in element
   nlpMeldung of type {http://www.bafin.de/mvp/nlp_eu/}nlpMitteilung, found
   &lt;nlp:nlpAkt123> (in namespace http://www.bafin.de/mvp/nlp_eu/), but next item
   should be any of [{http://www.bafin.de/mvp/nlp_eu/}positionsinhaber,
   {http://www.bafin.de/mvp/nlp_eu/}melder, {http://www.bafin.de/mvp/nlp_eu/}nlpAkt,
   {http://www.bafin.de/mvp/nlp_eu/}nlpOst, {http://www.bafin.de/mvp/nlp_eu/}nlpCds]
            </faultstring>
      </soap:Fault>
   </soap:Body>
</soap:Envelope>
```

2.8   Response from the web service with new metadata structure

If the response is positive, the ID of the report is transmitted:

```
<soapenv:Envelope xmlns:w=http://mvp.bafin.de/sp/v1/ws/
      xmlns:p="http://mvp.bafin.de/sp/v1/mmf37/"
      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">
```

```
            <!-- Content already described above-->
            </wsse:Security>
    </soapenv:Header>
    <soapenv:Body wsu:Id="Body-b3cc2f1e-939e-4613-aa2c-654ca237e48f"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
            <p:submitDATM37Response>
            <p:out>
                <w:reportId>20717437</w:reportId>
                <w:reportDate>2021-12-23T12:52:52.881Z</w:reportDate>
                <w:clientReference>PROD_MMF37_TE01</w:clientReference>
            </p:out>
            </p:submitDATM37Response>
    </soapenv:Body>
</soapenv:Envelope>
```

This shows that the specialised procedures based on the new metadata structure directly support the use of the customer reference.

A list showing the previous metadata and the newly defined English metadata side by side can be found in **chapter 2.6.1** List of previous and new metadata.

3 SOAP web service (retrieving the journal)

3.1 Calling the web service

This chapter explains how to call and use the SOAP web service interface to retrieve the MVP journal. Please make sure to use UTF-8 encoding when transmitting data. To prevent your report from being rejected even before SOAP verification, a valid XML structure must also be used. Otherwise, you will receive an "Internal Error" message.

The endpoint of the web service interface used to retrieve the journal is:

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

To download interface descriptions and the associated XSD files, add "?wsdl" to the respective URL, e.g.:

https://portal.mvp.bafin.de:444/services/ws/nlp?wsdl

Please make sure to use the relevant XSDs, which can be downloaded here (the respective XSDs are linked in the WSDL file):

https://portal.mvp.bafin.de:444/services/ws/protokoll.xsd1.xsd
https://portal.mvp.bafin.de:444/services/ws/protokoll.xsd2.xsd

3.2 Authentication

Users are required to provide authentication by using a WS-Security header (in line with OASIS Standard 200401, WSS UsernameToken Profile 1.0):

- **wsse:Security**
    - **wsse:UsernameToken**
        - **wsse:Username**
          Username for registration on the MVP Portal
        - **wsse:Password**
          Password for registration on the MVP Portal

The following example shows a valid header:

```xml
<wsse:Security soap:mustUnderstand="1" xmlns:wsse="http://docs.oasis-
  open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd">

  <wsse:UsernameToken wsu:Id="UsernameToken-1" xmlns:wsu="http://docs.oasis-
  open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd">

     <wsse:Username>karl.meier1234</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:UsernameToken>
</wsse:Security>
```

For successful authentication, two values must be entered (highlighted in red in the box above):
- Username for the MVP Portal
- Password for the MVP Portal

If one or both of the values entered for the elements "wsse:Username" and "wsse:Password" are incorrect or missing, the following error message will be returned:

```xml
<soap:Envelope xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/">
   <soap:Body wsu:Id="Body-72f39d6d-707a-4739-802b-c8a8ce7ff569"
  xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
  utility-1.0.xsd">
     <soap:Fault>
        <faultcode>soap:Client</faultcode>
        <faultstring>
            The username, password or identification number is incorrect.
        </faultstring>
     </soap:Fault>
   </soap:Body>
</soap:Envelope>
```

3.3 Web service request

3.3.1 Journal search

You can search the journal using the parameters listed below. If you do not select any search parameters for your request, the response will show all data contained in the reports submitted by the respective notifying party so far.

The following search parameters are accepted:

Parameter	Type	maxOccurs	Wildcards	Description
meldungId	int	1000	no	Report ID
meldezeitpunktVon	dateTime	1	no	Date and time of submission (from)
meldezeitpunktBis	dateTime	1	no	Date and time of submission (to)
verfahrenId	string (enum)	100	no	Specialised procedure for which the report is submitted
haftungsgeberId	string	100	no	Liable entity (entity subject to the notification/reporting requirement) on behalf of which the report is submitted
einreichungId	string (enum)	100	no	Report submission, comparable to a form (type of report)
statusId	string (enum)	10	no	Report status
meldewegId	string (enum)	10	no	Reporting channel, e.g. web service, web form
dateiname	string	100	yes	Name of the file included in the report
kundenreferenz	string	100	yes	Customer reference provided by notifying party

Wildcard characters:
      Question mark (?)   for a single wildcard character
      Asterisk (*)   for any sequence of zero or more characters

All of the search parameters are optional (minOccurs equals "0"). The operator OR is used for queries involving identical search parameters that are used several times; the operator AND is used for queries involving several different search parameters.

Example:

```
<prot:meldezeitpunktVon>2014-07-01T00:00:00.0</prot:meldezeitpunktVon>
<prot:verfahrenId>VA</prot:verfahrenId>
<prot:verfahrenId>T_VA</prot:verfahrenId>
```

The result of this query is a log of all reports that were submitted at or after 00:00:00.0 on 1 July 2014 <u>and</u> belong to the specialised procedures VA (insurance supervision) <u>or</u> T_VA (Test: insurance supervision).

The following example shows a syntactically correct message for journal searches:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:prot="http://www.bafin.de/mvp/protokoll/">
 <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-1">
        <wsse:Username>karl.meier1234</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">6EHsL+ijzY1hVdlu2ntLOg==</wsse:Nonce>
        <wsu:Created>2014-01-31T13:13:23.921Z</wsu:Created>
      </wsse:UsernameToken>
    </wsse:Security>
 <soapenv:Body>
    <prot:sucheMvpProtokoll>
      <suchkriterien>
        <prot:meldezeitpunktVon>2014-07-01T00:00:00.0</prot:meldezeitpunktVon>
        <prot:meldezeitpunktBis>2014-07-02T00:00:00.0</prot:meldezeitpunktBis>
        <prot:verfahrenId>EFT</prot:verfahrenId>
        <prot:verfahrenId>T_EFT</prot:verfahrenId>
      </suchkriterien>
    </prot:sucheMvpProtokoll>
  </soapenv:Body>
</soapenv:Envelope>
```

This query requests a log of all reports for the EFT and T_EFT specialised procedures submitted between 00:00:00.0 on 1 July 2014 and 00:00:00.0 on 2 July 2014.

3.3.2 Retrieving response messages

The MVP journal also contains response messages created during processing of the reports submitted. Depending on the specialised procedure, a response message can consist of text and/or a feedback file. Since capacity is limited, the journal search results

do not contain the contents but only the text and metadata **of the feedback file** (name, type and size of the file).

Below is a more detailed description of the separate web service method used to retrieve the contents of the feedback file.

The query may contain only one or several report IDs as search parameters.

Parameter	Type	maxOccurs	Wildcards	Description
meldungId	int	10	no	Report ID

The following example shows a syntactically correct message for retrieving response messages:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:prot="http://www.bafin.de/mvp/protokoll/">
 <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-1">
          <wsse:Username>karl.meier1234</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">6EHsL+ijzY1hVdlu2ntLOg==</wsse:Nonce>
          <wsu:Created>2014-01-31T13:13:23.921Z</wsu:Created>
       </wsse:UsernameToken>
    </wsse:Security>
 <soapenv:Body>
    <prot:sucheMvpRueckmeldung>
       <suchkriterien>
          <prot:meldungId>12345</prot:meldungId>
          <prot:meldungId>12346</prot:meldungId>
       </suchkriterien>
    </prot:sucheMvpRueckmeldung>
  </soapenv:Body>
</soapenv:Envelope>
```

This query requests the response messages for the reports with the IDs 12345 and 12346.

3.4 Response from the web service

3.4.1 Journal search results

The response (search result) consists of the metadata and a repeating structure for each message shown. The reports identified in the search results are arranged by the date and time of submission in reverse chronological order (latest submission first).

The following information is transmitted in each of the reports identified in the search result:

Field name	*Field type*	*Mandatory field*	*Field description*
meldungId	int	yes	Report ID
meldezeitpunkt	dateTime	yes	Date and time of submission
verfahrenId	string	yes	Specialised Procedure for which the report is submitted
haftungsgeberId	string	yes	Liable entity (entity subject to the notification/reporting requirement) on behalf of which the report is submitted
einreichungId	string	no	Report submission, comparable to a form (type of report)
statusId	string	no	Report status
meldewegId	string	no	Reporting channel, e.g. web service, web form
dateiname	string	no	Name of the file included in the report
kundenreferenz	string	no	Customer reference provided by notifying party
rueckmeldung	complexType	no	Response message created during processing of the report
bezeichnungen	complexType	yes	Names of the textual ID values in German and English

The following information is transmitted in the response messages created during processing of the reports (element "**rueckmeldung**"):

Field name	*Field type*	*Mandatory field*	*Field description*
text	complexType	no	Element containing free comment text or the error message (in the case of an error)
datei	complexType	no	Element containing a description of the feedback file

The element "**text**" contains the comment text or, in the case of an error, the error message as a string. The following metadata are possible:

Field name	Field type	Mandatory field	Field description
text	string	no	Comment text or error message
sprache	string	no	de (for German language) and en (for English language)

As part of the response message, the element "**datei**" is transmitted. This can contain the following metadata:

Field name	Field type	Mandatory field	Field description
name	string	no	Name of feedback file
typ	string	no	Type of feedback file (e.g. zip)
groesse	int	no	Size of feedback file (in bytes)

Since capacity is limited, the search results do not contain the contents of the feedback file. Please refer to chapter 3.3.2 Retrieving response messages and chapter 3.4.2 Results when retrieving response messages for a more detailed description of the separate web service method used to retrieve the contents of the feedback file.

The following information (metadata of the search) is transmitted in the search result:

Field name	Field type	Mandatory field	Field description
zeitstempel	dateTime	yes	Time of query
uid	string	yes	ID of notifying party
eingeschraenkt	boolean	yes	Information on completeness of search results (see note below)
suchkriterien	complexType	no	Search parameters used in the query

The response (search result) will contain the search parameters only if they were included in the query in the first place.

The mandatory fields are always part of the search result. Other fields are only contained in the search results if the information is available for the respective message.

The web service response is digitally signed by means of the valid server certificate (WS Security Header in line with OASIS Standard 200401, WSS X.509 Certificate Token Profile 1.0).

The information provided in the search results regarding the completeness of the search results (the attribute "eingeschraenkt" (limited) of the element "suchergebnis" (search result)) should always be taken into account.

```xml
<suchergebnis eingeschraenkt="true">
```

The value "true" means that the result set is too large to list all reports in the search result. Therefore, the search results are incomplete (limited); older reports are left out. At present, search results are limited to 1000 reports.

Example web service response (search result):

```xml
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:out="http://www.bafin.de/mvp/protokoll/">
 <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-aecb8c38-c696-44cf-bc29-21b0f67453fc"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
          <wsu:Created>2014-09-12T13:31:49Z</wsu:Created>
          <wsu:Expires>2014-09-12T13:36:49Z</wsu:Expires>
       </wsu:Timestamp>
       <wsse:BinarySecurityToken wsu:Id="SecurityToken-42c4b1e1-4614-4d0b-9077-
8a357a39156a" 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">MIIEZDCCA0ygAwIBAgIEMxvUDDANBgkqhkiG9w0BAQUFADB9MQswCQYDVQQGEwJERTEP […]
</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-aecb8c38-c696-44cf-bc29-21b0f67453fc">
                <Transforms>
                   <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#"/>
                </Transforms>
                <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                <DigestValue>TXno/FvXamVrx/LmamOZ+dwEqBI=</DigestValue>
             </Reference>
             <Reference URI="#Body-84ceb042-01cc-4d2f-8bba-74a1af2f9fee">
                <Transforms>
                   <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#"/>
                </Transforms>
                <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                <DigestValue>9hJ4WEPHclG2AE6aud15/kc6tnE=</DigestValue>
```

```
                </Reference>
            </SignedInfo>

<SignatureValue>dYPo49LiTC7vfY/Lko5hH3yqzzEQbAcvd0MhViolqfWxSvD/18sCPWkGwlCJc […]
</SignatureValue>
            <KeyInfo>
                <wsse:SecurityTokenReference xmlns="">
                    <wsse:Reference URI="#SecurityToken-42c4b1e1-4614-4d0b-9077-
8a357a39156a" 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-84ceb042-01cc-4d2f-8bba-74a1af2f9fee"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
    <out:sucheMvpProtokollResponse>
        <suchergebnis eingeschraenkt="false" uid="karl.meier1234"
zeitstempel="2014-09-12T15:31:49.818+02:00">
            <out:suchkriterien>
                <out:verfahrenId>EFT</out:verfahrenId>
                <out:haftungsgeberId>hg_05_1234567890</out:haftungsgeberId>
                <out:haftungsgeberId>hg_03_2345678901</out:haftungsgeberId>
            </out:suchkriterien>
            <out:meldung meldungId="17745">
            <out:meldezeitpunkt>2014-09-
11T17:32:45.867+02:00</out:meldezeitpunkt>
                <out:verfahrenId>EFT</out:verfahrenId>
                <out:haftungsgeberId>hg_05_1234567890</out:haftungsgeberId>
                <out:einreichungId>EFT</out:einreichungId>
                <out:statusId>processing</out:statusId>
                <out:meldewegId>ws</out:meldewegId>
                <out:dateiname>wsPDF17745.pdf</out:dateiname>
                <out:bezeichnungen sprache="de">
                    <out:verfahren>Hinterlegung endg.
Angebotsbedingungen</out:verfahren>
                    <out:haftungsgeber>Testbank Aktiengesellschaft,
Düsseldorf</out:haftungsgeber>
                    <out:einreichung>Hinterlegung endg.
Angebotsbedingungen</out:einreichung>
                    <out:status>In Verarbeitung</out:status>
                    <out:meldeweg>Webservice</out:meldeweg>
                </out:bezeichnungen>
                <out:bezeichnungen sprache="en">
                    <out:verfahren>Filing of Final Terms</out:verfahren>
                    <out:haftungsgeber>Testbank Aktiengesellschaft,
Düsseldorf</out:haftungsgeber>
                    <out:einreichung>Filing of a Final Terms</out:einreichung>
```

```
                        <out:status>Processing</out:status>
                        <out:meldeweg>Web service</out:meldeweg>
                    </out:bezeichnungen>
                </out:meldung>
                <out:meldung meldungId="17651">
                    <out:meldezeitpunkt>2014-07-
16T16:10:55.206+02:00</out:meldezeitpunkt>
                    <out:verfahrenId>EFT</out:verfahrenId>
                    <out:haftungsgeberId>hg_03_2345678901</out:haftungsgeberId>
                    <out:einreichungId>T_EFT</out:einreichungId>
                    <out:statusId>rejected_content</out:statusId>
                    <out:meldewegId>fms</out:meldewegId>
                    <out:dateiname>test1.pdf</out:dateiname>
                    <out:rueckmeldung>
                        <out:text>Invalid value. - ; Base Prospectus not found:
12345</out:text>
                    </out:rueckmeldung>
                    <out:bezeichnungen sprache="de">
                        <out:verfahren>Hinterlegung endg.
Angebotsbedingungen</out:verfahren>
                        <out:haftungsgeber>Testbank, Frankfurt am
Main</out:haftungsgeber>
                        <out:einreichung>Hinterlegung endg.
Angebotsbedingungen</out:einreichung>
                        <out:status>Meldung fehlerhaft</out:status>
                        <out:meldeweg>Webformular</out:meldeweg>
                    </out:bezeichnungen>
                    <out:bezeichnungen sprache="en">
                        <out:verfahren>Filing of Final Terms</out:verfahren>
                        <out:haftungsgeber>Testbank, Frankfurt am
Main</out:haftungsgeber>
                        <out:einreichung>Filing of a Final Terms</out:einreichung>
                        <out:status>Report contains errors</out:status>
                        <out:meldeweg>Web form</out:meldeweg>
                    </out:bezeichnungen>
                </out:meldung>
                <out:meldung meldungId="17310">
                    <out:meldezeitpunkt>2014-03-
27T14:02:24.325+01:00</out:meldezeitpunkt>
                    <out:verfahrenId>EFT</out:verfahrenId>
                    <out:haftungsgeberId>hg_05_1234567890</out:haftungsgeberId>
                    <out:einreichungId>EFT</out:einreichungId>
                    <out:statusId>accepted</out:statusId>
                    <out:dateiname>wsPDF17310.pdf</out:dateiname>
                    <out:rueckmeldung>
                        <out:text>Notification successfully processed.</out:text>
                    </out:rueckmeldung>
                    <out:bezeichnungen sprache="de">
                        <out:verfahren>Hinterlegung endg.
Angebotsbedingungen</out:verfahren>
```

```
              <out:haftungsgeber>Testbank Aktiengesellschaft,
  Düsseldorf</out:haftungsgeber>
              <out:einreichung>Hinterlegung endg.
  Angebotsbedingungen</out:einreichung>
              <out:status>Meldung akzeptiert</out:status>
          </out:bezeichnungen>
          <out:bezeichnungen sprache="en">
              <out:verfahren>Filing of Final Terms</out:verfahren>
              <out:haftungsgeber>Testbank Aktiengesellschaft,
  Düsseldorf</out:haftungsgeber>
              <out:einreichung>Filing of a Final Terms</out:einreichung>
              <out:status>Report accepted</out:status>
          </out:bezeichnungen>
        </out:meldung>
      </suchergebnis>
    </out:sucheMvpProtokollResponse>
  </soapenv:Body>
</soapenv:Envelope>
```

3.4.2 Results when retrieving response messages

The response (search result) consists of the metadata and a repeating structure for each response message shown. The response messages identified in the search results are arranged by the date and time of submission in reverse chronological order (response messages relating to the latest reports first).

The following information is transmitted in each of the response messages identified in the search result:

Field name	Field type	Mandatory field	Field description
meldungId	int	yes	Report ID
text	complexType	no	Element containing free comment text or the error message (in the case of an error)
datei	complexType	no	Element containing a description of the feedback file

The element "**text**" contains the comment text or, in the case of an error, the error message as a string. The following metadata are possible:

Field name	Field type	Mandatory field	Field description
text	string	no	Comment text or error message
sprache	string	no	de (for German language) and en (for English language)

As part of the response message, the element "**datei**" can be transmitted. This contains the following metadata if it is transmitted:

Field name	Field type	Mandatory field	Field description
name	string	yes	Name of feedback file
typ	string	yes	Type of feedback file (e.g. zip)
groesse	int	yes	Size of feedback file (in bytes)

The **content** of the feedback file is transmitted as a **Base64-encoded string** in the element "**datei**".

The following information (metadata of the search) is transmitted in the search result:

Field name	Field type	Mandatory field	Field description
zeitstempel	dateTime	yes	Time of query
uid	string	yes	ID of notifying party
suchkriterien	complexType	yes	Search parameters used in the query

The mandatory fields are always part of the search result. Other fields are only contained in the search results if the information is available for the respective response.

The web service response is digitally signed by means of the valid server certificate (WS-Security Header in line with OASIS Standard 200401, WSS X.509 Certificate Token Profile 1.0).

Example web service response (search result):

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:out="http://www.bafin.de/mvp/protokoll/">
 <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-aecb8c38-c696-44cf-bc29-21b0f67453fc"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
          <wsu:Created>2014-09-12T13:31:49Z</wsu:Created>
          <wsu:Expires>2014-09-12T13:36:49Z</wsu:Expires>
       </wsu:Timestamp>
       <wsse:BinarySecurityToken wsu:Id="SecurityToken-42c4b1e1-4614-4d0b-9077-
8a357a39156a" 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">MIIEZDCCA0ygAwIBAgIEMxvUDDANBgkqhkiG9w0BAQUFADB9MQswCQYDVQQGEwJERTEP […]
</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-aecb8c38-c696-44cf-bc29-21b0f67453fc">
            <Transforms>
               <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#"/>
            </Transforms>
            <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
               <DigestValue>TXno/FvXamVrx/LmamOZ+dwEqBI=</DigestValue>
          </Reference>
          <Reference URI="#Body-84ceb042-01cc-4d2f-8bba-74a1af2f9fee">
            <Transforms>
               <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#"/>
            </Transforms>
            <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
               <DigestValue>9hJ4WEPHclG2AE6aud15/kc6tnE=</DigestValue>
          </Reference>
        </SignedInfo>

<SignatureValue>dYPo49LiTC7vfY/Lko5hH3yqzzEQbAcvd0MhViolqfWxSvD/18sCPWkGwlCJc […]
</SignatureValue>
        <KeyInfo>
          <wsse:SecurityTokenReference xmlns="">
            <wsse:Reference URI="#SecurityToken-42c4b1e1-4614-4d0b-9077-
8a357a39156a" 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-84ceb042-01cc-4d2f-8bba-74a1af2f9fee"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
    <out:sucheMvpRueckmeldungResponse>
      <suchergebnis uid="karl.meier1234" zeitstempel="2014-09-
12T15:31:49.818+02:00">
        <out:suchkriterien>
          <out:meldungId>1003</out:meldungId>
          <out:meldungId>1004</out:meldungId>
          <out:meldungId>1006</out:meldungId>
```

```
            <out:meldungId>1024</out:meldungId>
        </out:suchkriterien>
        <out:rueckmeldung meldungId="1024"/>
        <out:rueckmeldung meldungId="1004">
            <out:text>Invalid value. - ; Base Prospectus (Prospect-ID) does not
match to the Issuer: hg_05_1234567890</out:text>
            <out:datei groesse="550" typ="txt" name="FDB_Test01.txt">
UEsDBBQAAgAIAPSLc0KmblpZrwYAAEMN […] </out:datei>
        </out:rueckmeldung>
        <out:rueckmeldung meldungId="1003">
            <out:text>Notification successfully processed.</out:text>
        </out:rueckmeldung>
      </out:suchergebnis>
    </out:sucheMvpRueckmeldungResponse>
  </soapenv:Body>
</soapenv:Envelope>
```

4 SOAP web service (accessing the post box)

4.1 Calling the web service

This chapter explains how to call and use the SOAP web service interface to access the MVP post box. Please make sure to use UTF-8 encoding when transmitting data. To prevent your report from being rejected even before SOAP verification, a valid XML structure must also be used. Otherwise, you will receive an "Internal Error" message.

The web service supplies message attachments as MTOM attachments. In this case, MTOM must be used. The attachment file is transmitted in its original format without any encoding.
In the element <**out:attachment**>, an XOP-Include item is used to point to the actual file, which is transmitted as a binary attachment.

The endpoint for the web service interface for accessing the post box is:

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

To download the interface descriptions and the associated XSD files, add "?wsdl" to the respective URL, e.g.:

https://portal.mvp.bafin.de:444/services/ws/inbox?wsdl

Please make sure to use the relevant XSDs, which can be downloaded here (the respective XSDs are linked in the WSDL file):

https://portal.mvp.bafin.de:444/services/ws/inbox.xsd1.xsd
https://portal.mvp.bafin.de:444/services/ws/inbox.xsd2.xsd

4.2 Authentication

Users are required to provide authentication by using a WS-Security header (in line with OASIS Standard 200401, WSS UsernameToken Profile 1.0):

- **wsse:Security**
    - **wsse:UsernameToken**
        - **wsse:Username**
          Username for registration on the MVP Portal
        - **wsse:Password**
          Password for registration on the MVP Portal

The following example shows a valid header:

```
<wsse:Security soap:mustUnderstand="1" xmlns:wsse="http://docs.oasis-
  open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd">

  <wsse:UsernameToken wsu:Id="UsernameToken-1" xmlns:wsu="http://docs.oasis-
  open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd">

    <wsse:Username>karl.meier1234</wsse:Username>

    <wsse:Password Type="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-
  username-token-profile-1.0#PasswordText">XXXXXXXXX</wsse:Password>

  </wsse:UsernameToken>
</wsse:Security>
```

For successful authentication, two values must be entered (highlighted in red in the box above):

- Username for the MVP Portal

- Password for the MVP Portal

If one or both of the values entered for the elements "wsse:Username" and "wsse:Password" are incorrect or missing, the following error message will be returned:

```
<soap:Envelope xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/">
  <soap:Body wsu:Id="Body-72f39d6d-707a-4739-802b-c8a8ce7ff569"
  xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
  utility-1.0.xsd">
    <soap:Fault>
      <faultcode>soap:Client</faultcode>
      <faultstring>
          The username, password or identification number is incorrect.
      </faultstring>
    </soap:Fault>
  </soap:Body>
```

```
</soap:Envelope>
```

Important:
The post box only shows messages that are available to the notifying party given in the WS-Security header.

4.3 Web service request

4.3.1 Post box search

You can search the post box using the parameters listed below. If you do not select any search parameters for your request, the response will show all message data for the respective notifying party.

The following search parameters are accepted:

Parameter	Type	maxOccurs	Wildcards	Description
messageId	token	100	no	Message ID
messageDateFrom	dateTime	1	no	Date and time of message (from)
messageDateTo	dateTime	1	no	Date and time of message (to)
validUntilFrom	date	1	no	Validity of message (from)
validUntilTo	date	1	no	Validity of message (to)
read	boolean	1	no	Read
categoryId	string (enum)	10	no	Message category, e.g. reminder, information or notice
specialisedProcedureId	string (enum)	100	no	The specialised procedure for which the message was sent
entitySubjectToNotificationId	integer	100	no	BaFin ID of the entity subject to the notification/reporting requirement
unit	token	100	no	Unit
reportingChannelId	String (enum)	10	no	The reporting channel, e.g. web service, web form

Wildcard characters:
      Question mark (?)   for a single wildcard character
      Asterisk (*)   for any sequence of zero or more characters

All of the search parameters are optional (minOccurs equals "0"). The operator OR is used for queries involving identical search parameters that are used several times; the operator AND is used for queries involving several different search parameters.

Example:

```
<inb:messageDateFrom>2019-03-01T00:00:00</inb:messageDateFrom >
<inb:categoryId>reminder</inb:categoryId>
<inb:specialisedProcedureId>FIRDS</inb:specialisedProcedureId>
```

This returns all messages sent at or after 00:00:00 on 1 March 2019 that have the category "Reminder" <u>and</u> belong to the specialised procedure FIRDS.

The following example shows a syntactically correct message for post box searches:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
   xmlns:inb="http://www.bafin.de/mvp/inbox/">
 <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-1">
          <wsse:Username>karl.meier1234</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">6EHsL+ijzY1hVdlu2ntLOg==</wsse:Nonce>
          <wsu:Created>2014-01-31T13:13:23.921Z</wsu:Created>
       </wsse:UsernameToken>
    </wsse:Security>
 <soapenv:Body>
    <inb:searchMessageMetadata>
       <filter>
          <inb:messageDateFrom>2019-03-01T10:00:00</inb:messageDateFrom>
          <inb:messageDateTo>2019-03-02T11:00:00</inb:messageDateTo>
          <inb:categoryId>reminder</inb:categoryId>
          <inb:specialisedProcedureId>FIRDS</inb:specialisedProcedureId>
       </filter>
    </inb:searchMessageMetadata>
 </soapenv:Body>
</soapenv:Envelope>
```

This query searches the post box to find all messages belonging to the specialised procedure FIRDS with the category "reminder" that were sent between 10:00:00 on 1 March 2019 and 11:00:00 on 2 March 2019.

4.3.2 Retrieving message attachments

The MVP post box also contains all attachments to messages sent to the notifying party. A response message shows the filter criteria used and, depending on the specialised

procedure, can comprise the content of the message and/or attachment file(s). It contains the message text, the attachments and the message metadata, which comprises the message ID, the type and the size of the attachment(s).

Below is a more detailed description of the separate web service method used to retrieve the content of a message and/or the attachments.

The query may contain a message ID as the search parameter.

Parameter	Type	maxOccurs	Wildcards	Description
meldungId	int	1	No	Message ID

The following example shows a syntactically correct web service call to retrieve the content of a message and/or the attachments:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:inb="http://www.bafin.de/mvp/inbox/">
 <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-1">
            <wsse:Username>karl.meier1234</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">6EHsL+ijzY1hVdlu2ntLOg==</wsse:Nonce>
            <wsu:Created>2014-01-31T13:13:23.921Z</wsu:Created>
        </wsse:UsernameToken>
    </wsse:Security>
 <soapenv:Body>
     <inb:searchMessagePayload>
       <filter>
          <inb:messageId>7247b463-2e2a-4938-b62f-79b0d2152da2</inb:messageId>
       </filter>
     </inb:searchMessagePayload>
  </soapenv:Body>
</soapenv:Envelope>
```

This query ascertains the content of and/or the attachments to the message with the message ID "7247b463-2e2a-4938-b62f-79b0d2152da2".

4.3.3 Deleting messages

In the MVP post box, messages sent to the notifying party can be deleted. A response message shows the filter criteria used and returns a list of the deleted messages. This list comprises up to ten <**out:messageId**> elements and confirms that the messages with these message IDs have been deleted.

Below is a more detailed description of the separate web service method used to delete one or more messages.

The query may contain a message ID as the search parameter.

Parameter	Type	maxOccurs	Wildcards	Description
meldungId	int	10	No	Message ID

The following example shows a syntactically correct web service call to delete a message:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:inb="http://www.bafin.de/mvp/inbox/">
 <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-1">
          <wsse:Username>karl.meier1234</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">6EHsL+ijzY1hVdlu2ntLOg==</wsse:Nonce>
          <wsu:Created>2014-01-31T13:13:23.921Z</wsu:Created>
       </wsse:UsernameToken>
    </wsse:Security>
 <soapenv:Body>
     <inb:deleteMessage>
       <filter>
          <inb:messageId>03ee66de-38a2-4d18-b1d1-21cffceda65b</inb:messageId>
       </filter>
     </inb:deleteMessage>
     </soapenv:Body>
</soapenv:Envelope>
```

This query deletes the message with the message ID "03ee66de-38a2-4d18-b1d1-21cffceda65b".

4.4 Response from the web service

4.4.1 Results when post box is searched

The response (search result) consists of the filter criteria used and a repeating structure for each message shown. If messages that match the criteria are found, these messages are arranged in the search results in chronological order (latest messages last).

The following items of information are transmitted in the search results as attributes of the element "result".

Attribute name	Attribute type	Mandatory field	Attribute description
timestamp	dateTime	yes	Date and time of the post box search
uid	string	yes	ID of the notifying party for whom the messages are intended
limited	boolean	yes	Whether the search results are limited or not

The following information is transmitted with each message in the search results ("**messageMetadata**" element):

Field name	Field type	Mandatory field	Field description
messageMetadata	complexType	no	Structure with the metadata of a message
messageId	string	yes	Message ID (as an attribute of the element "messageMetadata")
messageDate	dateTime	yes	Date and time of the message
validUntil	date	yes	End of message's validity
read	boolean	yes	Whether the message has been read or not
categoryId	string	yes	Message category, e.g. reminder, information or notice
targetGroup	complexType	no	Information on the specialised procedure, BaFin ID of the entity subject to the notification/reporting requirement, unit and reporting channel
messageSubject	string	yes	Subject line (shown in different languages) Language selected using attribute "language"
contentMetadata	complexType	no	Metadata for the content of the message
attachmentMetadata	complexType	no	Attachment metadata (name, language, type, size as attributes)
descriptions	complexType	yes	Description of the metadata, comprises category, specialised procedure, unit and reporting channel

If the element "**targetGroup**" is present in the search results, the following information is transmitted:

Field name	Field type	Mandatory field	Field description
specialisedProcedureId	enum	no	The specialised procedure for which the message was sent
entitySubjectToNotificationId	integer	no	BaFin ID of the entity subject to the notification/reporting requirement
unit	string	no	Unit
reportingChannelId	string	no	The reporting channel, e.g. web service, web form

If the element "**contentMetadata**" is present in the search results, the following information is transmitted:

Field name	Field type	Mandatory field	Field description
language	enum	yes	Language (de = German, en = English)
size	int	yes	Size of the message

If the element "**attachmentMetadata**" is present in the search results, the following information is transmitted:

Field name	Field type	Mandatory field	Field description
language	enum	no	Language (de = German, en = English)
name	string	yes	Name of the attachment
type	string	yes	Type of the attachment
size	int	yes	Size of the attachment

If the element "**descriptions**" is present in the search results, the following information is transmitted:

Field name	Field type	Mandatory field	Field description
category	string	Yes	Message category, e.g. reminder, information or notice
specialisedProcedure	string	no	Specialised procedure
entitySubjectToNotification	string	no	Name of the entity subject to the notification/reporting requirement
reportingChannel	string	no	Reporting channel

The search results contain filter criteria only if they were included in the query.

Mandatory fields are always included in the search results, while other fields are only included if the respective information is available for the particular message.

The web service response is digitally signed by means of the valid server certificate (WS Security Header in line with OASIS Standard 200401, WSS X.509 Certificate Token Profile 1.0).

The information provided in the search results regarding the completeness of the search results (the attribute "**limited**" of the element "**result**") should always be taken into account.

```
<result timestamp="2019-03-13T08:36:29.130+01:00" uid="karl.meier1234" limited="false">
```

The value "true" means that the result set is too large to list all messages in the search results. Therefore, the search results are incomplete (limited); older messages are left out. At present, search results are limited to 100 messages.

Example web service response (search results):

```
<soapenv:Envelope xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xmlns:out="http://www.bafin.de/mvp/inbox/"
  xmlns:xop="http://www.w3.org/2004/08/xop/include"
  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-aecb8c38-c696-44cf-bc29-21b0f67453fc"
  xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
  utility-1.0.xsd">
        <wsu:Created>2014-09-12T13:31:49Z</wsu:Created>
        <wsu:Expires>2014-09-12T13:36:49Z</wsu:Expires>
      </wsu:Timestamp>
      <wsse:BinarySecurityToken wsu:Id="SecurityToken-42c4b1e1-4614-4d0b-9077-
  8a357a39156a" 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">MIIEZDCCA0ygAwIBAgIEMxvUDDANBgkqhkiG9w0BAQUFADB9MQswCQYDVQQGEwJERTEP […]
  </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-aecb8c38-c696-44cf-bc29-21b0f67453fc">
            <Transforms>
              <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
  c14n#"/>
```

```
                </Transforms>
                <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                <DigestValue>TXno/FvXamVrx/LmamOZ+dwEqBI=</DigestValue>
            </Reference>
            <Reference URI="#Body-84ceb042-01cc-4d2f-8bba-74a1af2f9fee">
                <Transforms>
                    <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#"/>
                </Transforms>
                <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                <DigestValue>9hJ4WEPHclG2AE6aud15/kc6tnE=</DigestValue>
            </Reference>
        </SignedInfo>

<SignatureValue>dYPo49LiTC7vfY/Lko5hH3yqzzEQbAcvd0MhViolqfWxSvD/18sCPWkGwlCJc […]
</SignatureValue>
        <KeyInfo>
            <wsse:SecurityTokenReference xmlns="">
                <wsse:Reference URI="#SecurityToken-42c4b1e1-4614-4d0b-9077-
8a357a39156a" 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-cca5d190-16ae-434f-8285-c8a8ce7fba46"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
  <out:searchMessageMetadataResponse>
    <result timestamp="2019-03-13T08:36:29.130+01:00" uid="karl.meier1234"
limited="false">
      <out:filter>
        <out:messageDateFrom>2019-03-01T10:00:00+01:00</out:messageDateFrom>
        <out:messageDateTo>2019-03-02T11:00:00+01:00</out:messageDateTo>
      </out:filter>
      <out:messageMetadata messageId="784537c9-5dc3-4320-8b68-6e4638cccd87">
        <out:messageDate>2019-03-01T10:00:00.639+01:00</out:messageDate>
        <out:validUntil>2019-04-18+02:00</out:validUntil>
        <out:read>false</out:read>
        <out:categoryId>reminder</out:categoryId>
        <out:targetGroup>
          <out:specialisedProcedureId>FIRDS</out:specialisedProcedureId>
          <out:unit>T9999</out:unit>
        </out:targetGroup>
        <out:messageSubject language="de">Reminder FIRDS für
T9999</out:messageSubject>
```

```
          <out:messageSubject language="en">Reminder FIRDS for
  T9999</out:messageSubject>
          <out:attachmentMetadata name="FIRDS_RMDEQU_NCADE_T9999-194022_18.zip"
  type="zip" size="851"/>
          <out:descriptions language="de">
            <out:category>Reminder</out:category>
            <out:specialisedProcedure>FIRDS (Title II + Art. 22 + 27 MiFIR / Art. 4
  MAR)</out:specialisedProcedure>
          </out:descriptions>
          <out:descriptions language="en">
            <out:category>Reminder</out:category>
            <out:specialisedProcedure>FIRDS (Title II + Art. 22 + 27 MiFIR / Art. 4
  MAR)</out:specialisedProcedure>
          </out:descriptions>
        </out:messageMetadata>
      </result>
    </out:searchMessageMetadataResponse>
  </soapenv:Body>
</soapenv:Envelope>
```

4.4.2 Results when message attachments are retrieved

The response (search results) comprises the filter criteria used and all attachments to the message searched for. All of the message attachments are returned.

The following items of information are transmitted in the search results as attributes of the element "result".

Attribute name	Attribute type	Mandatory field	Attribute description
timestamp	dateTime	yes	Date and time of the search in the post box
uid	string	yes	ID of the notifying party for whom the messages are intended

The following information is transmitted with each attachment in the search results ("**messagePayload**" element):

Field name	Field type	Mandatory field	Field description
messagePayload	complexType	no	Structure for the message attachment
messageId	string	yes	Message ID (as an attribute of the element "messagePayload")
content	complexType	no	Message content
attachment	complexType	no	Message attachment

If the element "**content**" is present in the search results, the following information is transmitted:

Attribute name	Attribute type	Mandatory field	Attribute description
language	enum	yes	Language (de = German, en = English)
size	Int	yes	Size of content
hashType	string	yes	Hash method
hashValue	String	yes	Hash value (binary, encoded in hexadecimal)

If the element "**attachment**" is present in the search results, the following information is transmitted:

Attribute name	Attribute type	Mandatory field	Attribute description
language	enum	yes	Language (de = German, en = English)
name	string	yes	Name of the attachment
type	string	yes	Type of the attachment
size	Int	yes	Size of the attachment
hashType	string	yes	Hash method
hashValue	String	yes	Hash value (binary, encoded in hexadecimal)

In the element <**out:attachment**>, an XOP-Include item is used to point to the actual file, which is transmitted as a binary attachment.

The search results contain filter criteria only if they were included in the query.

Mandatory fields are always included in the search results, while other fields are only included if the respective information is available for the particular message.

The web service response is digitally signed by means of the valid server certificate (WS Security Header in line with OASIS Standard 200401, WSS X.509 Certificate Token Profile 1.0).

The search results contain the element "result":

```
<result timestamp="2019-03-13T08:36:29.130+01:00" uid="karl.meier1234">
```

Example web service response (search results):

```
<soapenv:Envelope xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xmlns:out="http://www.bafin.de/mvp/inbox/"
  xmlns:xop="http://www.w3.org/2004/08/xop/include"
  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-aecb8c38-c696-44cf-bc29-21b0f67453fc"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
          <wsu:Created>2014-09-12T13:31:49Z</wsu:Created>
          <wsu:Expires>2014-09-12T13:36:49Z</wsu:Expires>
       </wsu:Timestamp>
       <wsse:BinarySecurityToken wsu:Id="SecurityToken-42c4b1e1-4614-4d0b-9077-
8a357a39156a" 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">MIIEZDCCA0ygAwIBAgIEMxvUDDANBgkqhkiG9w0BAQUFADB9MQswCQYDVQQGEwJERTEP […]
</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-aecb8c38-c696-44cf-bc29-21b0f67453fc">
                <Transforms>
                   <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#"/>
                </Transforms>
                <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                <DigestValue>TXno/FvXamVrx/LmamOZ+dwEqBI=</DigestValue>
             </Reference>
             <Reference URI="#Body-84ceb042-01cc-4d2f-8bba-74a1af2f9fee">
                <Transforms>
                   <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#"/>
                </Transforms>
                <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                <DigestValue>9hJ4WEPHclG2AE6aud15/kc6tnE=</DigestValue>
             </Reference>
          </SignedInfo>

<SignatureValue>dYPo49LiTC7vfY/Lko5hH3yqzzEQbAcvd0MhViolqfWxSvD/18sCPWkGwlCJc […]
</SignatureValue>
          <KeyInfo>
             <wsse:SecurityTokenReference xmlns="">
                <wsse:Reference URI="#SecurityToken-42c4b1e1-4614-4d0b-9077-
8a357a39156a" 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-cca5d190-16ae-434f-8285-c8a8ce7fba46"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
  <out:searchMessagePayloadResponse>
      <result timestamp="2019-03-15T13:37:04.754+01:00" uid="karl.meier1234">
        <out:filter>
           <out:messageId>854dec38-46aa-478f-956d-93bbc88bf61f</out:messageId>
        </out:filter>
        <out:messagePayload messageId="854dec38-46aa-478f-956d-93bbc88bf61f">
           <out:attachment name="FIRDS_RMDEQU_NCADE_T9999-194025_18.zip"
type="zip" size="851" hashType="SHA256"
hashValue="dc4a54c1f98296f59ef4bfca6e93e240bcc1d384097f86df6b4c2ed75287059b">
              <xop:Include
href="cid:7137a000c732a45e376e6f88f75fc5a61d1049719fda1d40@apache.org"/>
           </out:attachment>
        </out:messagePayload>
      </result>
   </out:searchMessagePayloadResponse>

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

4.4.3 Results when a message is deleted

The response (search results) comprises the filter criteria used and a list of the IDs of all messages that have been deleted. Up to 10 message can be deleted.

The following items of information are transmitted in the search results as attributes of the element "result".

Attribute name	Attribute type	Mandatory field	Attribute description
timestamp	dateTime	yes	Date and time of the search in the post box
uid	string	yes	ID of the notifying party for whom the messages are intended

The following information is transmitted with each message in the search results:

Field name	Field type	Mandatory field	Field description
messageId	string	no	Message ID

The search results contain filter criteria only if they were included in the query.

Mandatory fields are always included in the search results, while other fields are only included if the respective information is available for the particular message.

The web service response is digitally signed by means of the valid server certificate (WS Security Header in line with OASIS Standard 200401, WSS X.509 Certificate Token Profile 1.0).

The element "result" is included in the search results:

```
<result timestamp="2019-03-13T08:36:29.130+01:00" uid="karl.meier1234">
```

Example web service response (search results):

```
<soapenv:Envelope xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xmlns:out="http://www.bafin.de/mvp/inbox/"
  xmlns:xop="http://www.w3.org/2004/08/xop/include"
  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-aecb8c38-c696-44cf-bc29-21b0f67453fc"
  xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
  utility-1.0.xsd">
            <wsu:Created>2014-09-12T13:31:49Z</wsu:Created>
            <wsu:Expires>2014-09-12T13:36:49Z</wsu:Expires>
        </wsu:Timestamp>
        <wsse:BinarySecurityToken wsu:Id="SecurityToken-42c4b1e1-4614-4d0b-9077-
  8a357a39156a" 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">MIIEZDCCA0ygAwIBAgIEMxvUDDANBgkqhkiG9w0BAQUFADB9MQswCQYDVQQGEwJERTEP […]
  </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-aecb8c38-c696-44cf-bc29-21b0f67453fc">
                    <Transforms>
                        <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
  c14n#"/>
                    </Transforms>
                    <DigestMethod
  Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                    <DigestValue>TXno/FvXamVrx/LmamOZ+dwEqBI=</DigestValue>
```

```
                </Reference>
                <Reference URI="#Body-84ceb042-01cc-4d2f-8bba-74a1af2f9fee">
                    <Transforms>
                        <Transform Algorithm="http://www.w3.org/2001/10/xml-exc-
c14n#"/>
                    </Transforms>
                    <DigestMethod
Algorithm="http://www.w3.org/2000/09/xmldsig#sha1"/>
                    <DigestValue>9hJ4WEPHclG2AE6aud15/kc6tnE=</DigestValue>
                </Reference>
            </SignedInfo>

<SignatureValue>dYPo49LiTC7vfY/Lko5hH3yqzzEQbAcvd0MhViolqfWxSvD/18sCPWkGwlCJc […]
</SignatureValue>
            <KeyInfo>
                <wsse:SecurityTokenReference xmlns="">
                    <wsse:Reference URI="#SecurityToken-42c4b1e1-4614-4d0b-9077-
8a357a39156a" 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-cca5d190-16ae-434f-8285-c8a8ce7fba46"
xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-
utility-1.0.xsd">
  <out:deleteMessageResponse>
      <result timestamp="2019-03-15T11:12:00.140+01:00" uid="karl.meier1234">
         <out:filter>
            <out:messageId>784537c9-5dc3-4320-8b68-6e4638cccd87</out:messageId>
         </out:filter>
         <out:messageId>784537c9-5dc3-4320-8b68-6e4638cccd87</out:messageId>
      </result>
   </out:deleteMessageResponse>
   </soapenv:Body>
</soapenv:Envelope>
```

5 Annex – List of web service endpoints

Every specialised procedure offered by BaFin has its own web service interface. If the specialised procedure you are looking for is not included in the following list, please refer to the information sheet for the respective specialised procedure or contact the support desk to request the endpoint.

In order to make the list of web service endpoints as clear as possible, the table below does not include the URLs for the web service endpoints.

However, we provide guidance on how the web service ID and the main part of the URL "https://portal.mvp.bafin.de:444/services/ws/" or https://portal.mvp.bafin.de:444/services/sp/v1 can be combined to produce the URL for each web service endpoint.

Specialised procedure	Web service ID	MTOM file attachment	New metadata structure
AIFMD-Reporting	aifmd	no	no
Notifications section 26 WpHG	p15wphg	no	no
Notifications section 312 KAGB (UCITS)	p312kagb	no	no
Notifications section 331 KAGB (AIF)	p331kagb	no	no
Notifications section 38 DerV	p38derv	no	no
Notifications section 50 WpHG	p30ewphg	no	no
Notification on outsourcing	mmdl	yes	yes
Ex-ante or ex-post contributions	euba	yes	yes
Banking supervision	ba	yes	yes
Complaints report under Art. 26 of CDR MiFID II	ebb	N/A	no
CSDR Art. 7 Settlement Fails Reporting	sfr	yes	yes
Data collection (Art. 27 PAD)	pad	N/A	no
Directors' Dealings (Art. 19 MAR)	dd	N/A	no
Submissions by auditors	pruefb	yes	no
Handelsplatzumsätze (Umlage)	hpu	yes	no
Filing of Final Terms	eft	yes	no
Announcement (sections 114 et seq. WpHG)	tug	no	no
Settlement Internaliser Reporting	sir	yes	no
Notifications and applications (EMIR)	emir	no	no
Register of investment advisers	mbr	N/A	no
MMF Reporting (Article 37)	mmf37	yes	yes
NAB - Resolution Planning	nabap	yes	no
Net short positions	nlp	N/A	no
Pan-European personal pension product (PEPP)	pepp	yes	yes

Specialised procedure	Web service ID	MTOM file attachment	New metadata structure
Position Limits in Commodity Derivatives and Reporting	**poslim**	**yes**	no
PRIIPs-Regulation	**priip**	**yes**	no
Prospectuses (EU-VO/WpPG/VermAnlG)	**vp**	**yes**	no
PSD2 Major Incident Reporting	**psd2mir**	**yes**	**yes**
Buyback-/Stab. Reports pursuant to MAR	**ruecksta**	no	no
Recovery Plans under the simplified requirements	**spl**	**yes**	**yes**
Notification of Major Holdings (sec. 33 et seq. WpHG)	**eus**	no	no
Transaction reporting (article 26 MiFIR)	**a26mifir**	**yes**	no
STORs according to MAR	**stor**	no	no
Insurance Supervision	**va**	no	no
Insurance Supervision - Forms	**vaform**	N/A	no
Insurance Supervision - Occupational Pensions	**mevap**	**yes**	no
Insurance Supervision - Solvency II	**mevasii**	no	no
Register of tied agents	**vgv**	N/A	no
Consumer Protection: External Service Providers	**vbs_ed**	**yes**	**yes**
Consumer Protection: Market Surveys	**vbs_mu**	**yes**	**yes**
Notifications KAGB - Funds	**kagb_fd**	**yes**	**yes**
Notifications KAGB - executive board	**kagb_gl**	**yes**	**yes**
Notifications KAGB - VwG	**kagb_kvg**	**yes**	**yes**

MTOM file attachment clarification:

  yes: MTOM file attachment
  no: File attachment as Base64-encoded string
  N/A: no file attachment

When using the previous metadata, the web service endpoint is formulated as follows:

  https://portal.mvp.bafin.de:444/services/ws/ + web service ID

As an example, to formulate the web service endpoint for the specialised procedure "Ex-ante or ex-post contributions", you would find the web service ID for this specialised procedure from the table above, and then add this to the main part of the URL, resulting in the following web service endpoint:

  Web service ID: euba
  Endpoint: https://portal.mvp.bafin.de:444/services/ws/**euba**

New metadata structure clarification:
  yes: new metadata in English, MTOM file attachment, new URI
  no: previous metadata in German, previous URI

When using the **new metadata structure**, the web service endpoint is formulated as follows:

https://portal.mvp.bafin.de:444/services/sp/v1/ + web service ID

Web service ID: mmf37
Endpoint: https://portal.mvp.bafin.de:444/services/sp/v1/**mmf37**