

# Reporting and Publishing Platform (MVP Portal)

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SOAP Web Service

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## **1 SOAP Web Service**

### **1.1 Requirements**

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

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

### **1.2 Configuration**

To submit a notification via the SOAP interface or to retrieve the protocol, 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 notification) and chapter 3.2 (for retrieving the protocol).

## **2 SOAP Web Service (submitting a notification)**

### **2.1 Accessing the Web Service**

This chapter explains how to access and use the SOAP Web Service interface. Please make sure to use UTF-8 encoding when transmitting data. To prevent your notification from being rejected even before SOAP authentication, a valid XML structure must also be used. Otherwise, you will receive a “Rejected by Policy” error message.

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

At the moment, the following Web Service endpoints are available:

- Register of net short positions (NLP)  
<https://portal.mvp.bafin.de:444/services/ws/nlp>
- Employee and complaints register (MBR)  
<https://portal.mvp.bafin.de:444/services/ws/mbr>
- Filing of Final Terms (EFT)  
<https://portal.mvp.bafin.de:444/services/ws/eft>
- Register of tied agents (VGV)  
<https://portal.mvp.bafin.de:444/services/ws/vgv>

- Transaction reporting pursuant to section 9 WpHG (P9WPHG)  
<https://portal.mvp.bafin.de:444/services/ws/p9wphg>
- Notifications section 312 KAGB (UCITS) (P312KAGB)  
<https://portal.mvp.bafin.de:444/services/ws/p312kagb>
- Notifications section 331 KAGB (AIF) (P331KAGB)  
<https://portal.mvp.bafin.de:444/services/ws/p331kagb>
- Insurance Supervision (VA)  
<https://portal.mvp.bafin.de:444/services/ws/va>
- Notifications section 38 DerV (P38DERV)  
<https://portal.mvp.bafin.de:444/services/ws/p38derv>
- Notification of the announcement pursuant to sections 37v-y WpHG (TUG)  
<https://portal.mvp.bafin.de:444/services/ws/tug>
- KUSTA/DTB (KUSTA\_DTB)  
<https://portal.mvp.bafin.de:444/services/ws/kusta>
- Notifications section 30c WpHG (P30cWPHG)  
<https://portal.mvp.bafin.de:444/services/ws/p30cwphg>
- Notifications section 30e WpHG (P30eWPHG)  
<https://portal.mvp.bafin.de:444/services/ws/p30ewphg>
- Notifications section 15 WpHG (P15WPHG)  
<https://portal.mvp.bafin.de:444/services/ws/p15wphg>
- Submission Prospectuses (WpPG / VermAnIG) (VP)  
<https://portal.mvp.bafin.de:444/services/ws/vp>
- Outstanding transactions under Article 15 (2) Regulation (EU) No. 149/2013 (EMIR15)  
<https://portal.mvp.bafin.de:444/services/ws/emir15>

Every procedure offered by BaFin has its own test procedure. You can use these test procedures to submit test notifications. Such test notifications are intended to identify possible sources of errors ahead of time, so that errors can be remedied before the actual notifications 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](https://portal.mvp.bafin.de:444/services/ws/t_nlp)

To download interface descriptions and the associated XSD files, add "?wsdl" to the URLs listed above, 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>  
<https://portal.mvp.bafin.de:444/services/ws/nlp.xsd3.xsd>

## 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 specifications):

- **wsse:Security**
  - **wsse:UsernameToken**
    - **wsse:Username**  
User name for registration on the MVP Portal, followed by “#” and ID of the guarantor (entity subject to the notification requirement)
    - **wsse:Password**  
Password for registration on the MVP Portal

The following example shows a valid header:

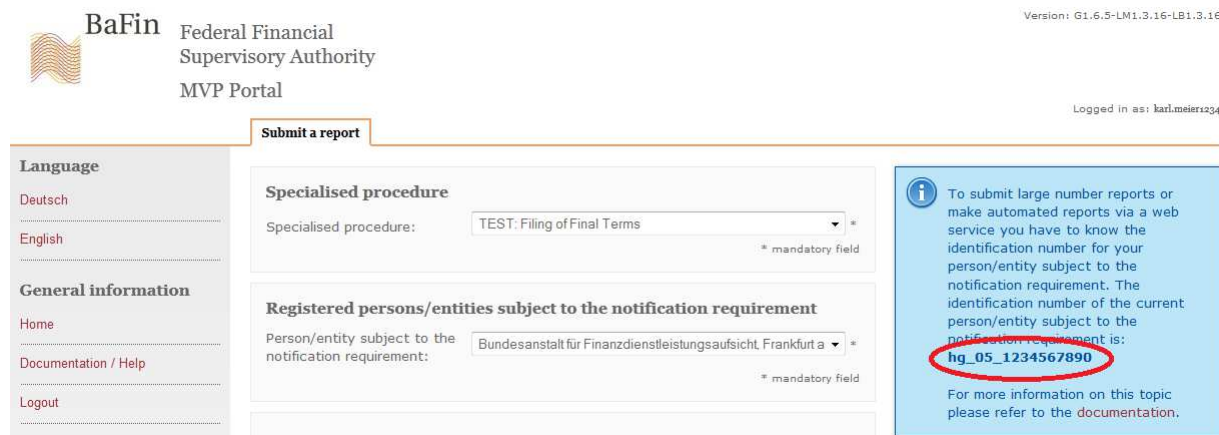
```
<wsse:Security soap:mustUnderstand="1" xmlns:wsse="http://docs.oasis-  
open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd">  
  
<wsse:UsernameToken wsu:Id="UsernameToken-1" xmlns:wsu="http://docs.oasis-  
open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd">  
  
  <wsse:Username>karl.meier1234#hg_05_1234567890</wsse:Username>  
  
  <wsse:Password Type="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-  
username-token-profile-1.0#PasswordText">Wev0sX6YsB</wsse:Password>  
  
</wsse:UsernameToken>  
</wsse:Security>
```

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

- User name for the MVP Portal
- ID of the guarantor (entity subject to the notification requirement)
- Password for the MVP Portal

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

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



**BaFin** Federal Financial Supervisory Authority  
MVP Portal

Version: G1.6.5-LM1.3.16-LB1.3.16

Logged in as: karl.meiers234

**Submit a report**

**Language**  
Deutsch  
English

**General information**  
Home  
Documentation / Help  
Logout

**Specialised procedure**  
Specialised procedure: TEST: Filing of Final Terms \* mandatory field

**Registered persons/entities subject to the notification requirement**  
Person/entity subject to the notification requirement: Bundesanstalt für Finanzdienstleistungsaufsicht, Frankfurt a \* mandatory field

**Information box:**  
To submit large number reports or make automated reports via a web service you have to know the identification number for your person/entity subject to the notification requirement. The identification number of the current person/entity subject to the notification requirement is: **hg\_05\_1234567890**  
For more information on this topic please refer to the documentation.

## 2.3 Example of a syntactically correct SOAP message

A syntactically correct message for the notification procedure "Register of 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" >Wev0sX6YsB</wsse:Password>
      </wsse:UsernameToken>
    </wsse:Security>
  </soapenv:Header>
  <soapenv:Body>
    <net:sendeMeldungEU>
      <nlp:Meldung>
        <!--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 Procedures requiring attachments

Some procedures require submission of attachments, mostly as PDF, ZIP or GZIP files. These binary data are included in the respective interface tag in the form of BASE64-encoded character strings.

Example "Transaction reporting pursuant to section 9 WpHG (P9WPHG)":

```

<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
  xmlns:p9w="http://www.bafin.de/mvp/p9wphg/">
  <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">Wev0sX6YsB</wsse:Password>
      </wsse:UsernameToken>
    </wsse:Security>
  </soapenv:Header>
  <soapenv:Body>
    <p9w:submit>
      <p9wphgMeldung>
        <p9w:dateiname>P9WPHG_3214_dateiname.gz</p9w:dateiname>
      </p9wphgMeldung>
    </p9w:submit>
  </soapenv:Body>
</soapenv:Envelope>

```

```
<datei>UESDBBQAAGAIAPSLc0KmblpZrwyAAEMN [...] </datei>
  </p9w:submit>
</soapenv:Body>
</soapenv:Envelope>
```

## 2.5 Response from the Web Service

A positive response from the Web Service transmits the message ID:

```
<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 procedures support messages containing a customer reference (reference provided by the notifying party to facilitate identification of the message by the client). In these procedures, a positive response from the Web Service transmits not only the message ID but also the 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. Irrespective of whether a customer reference is transmitted, the Web Service response in these procedures is signed digitally by means of the valid server certificate (WS Security Header pursuant to 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">MIEZDCCA0ygAwIBAgIEMxvUDDANBgkqhkiG9w0BAQUFADB9MQswCQYDVQQGEwJERTEP [...]
</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/n6lHCZyozmTL9xs=</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:

In the future, the procedures will feature the customer reference and digital signature in the Web Service response from the beginning. All existing procedures will be adapted step by step to include the customer reference and digital signature. These enhancements have not been scheduled yet, but the notifying parties will be informed in advance of when they are due to take place.

At the time of writing (October 2014), the following procedures feature the customer reference and digital signature:

- Employee and complaints register (MBR)
- Filing of Final Terms (EFT)
- Insurance Supervision (VA)

If there are content-related errors in the message, the Web Service responds with an error message. In this example the value for "nlp:art" (Notification of a net short position/notification after cancellation of a net short position) is set to "neu!" instead of "neu":

```
<env:Envelope xmlns:env="http://schemas.xmlsoap.org/soap/envelope/">
  <env:Body>
    <env:Fault>
      <faultcode>DP:0x00230001</faultcode>
      <faultstring>Rejected.</faultstring>
      <datapower-details>
        <service>LiveWeb_NLP_WSP</service>
        <transaction>137859</transaction>
        <operation>/services/verfahren/nlp</operation>
        <result status="ERROR">
          <message>
            https://portal.mvp.bafin.de:444/services/ws/t_nlp: cvc-simple-type 1: element {http://www.bafin.de/mvp/nlp/}art value 'neu!' is not a valid instance of the element type
          </message>
        </result>
      </datapower-details>
    </env:Fault>
  </env:Body>
</env:Envelope>
```

If there are structural errors (XML validation fails), the error message will look like the following example. Here the tag "nlp:nlpName" is given as "nlp:nlpName123":

```
<env:Envelope xmlns:env="http://schemas.xmlsoap.org/soap/envelope/">
  <env:Body>
    <env:Fault>
      <faultcode>DP:0x00230001</faultcode>
```

```
<faultstring>Rejected.</faultstring>
<datapower-details>
  <service>LiveWeb_NLP_WSP</service>
  <transaction>42593</transaction>
  <operation>/services/verfahren/t_nlp</operation>
  <result status="ERROR">
    <message>
      https://portal.mvp.bafin.de:444/services/ws/t_nlp: cvc-particle 2.1: in
      element {http://www.bafin.de/mvp/nlp/}meldepflichtiger of type
      {http://www.bafin.de/mvp/nlp/}nlpMeldepflichtiger, found &lt;nlp:nlpName123> (in
      namespace http://www.bafin.de/mvp/nlp/), but next item should be
      {http://www.bafin.de/mvp/nlp/}nlpName
    </message>
  </result>
</datapower-details>
</env:Fault>
</env:Body>
</env:Envelope>
```

## **3 SOAP Web Service (retrieving the protocol)**

### **3.1 Accessing the Web Service**

This chapter explains how to access and use the SOAP Web Service interface to retrieve the MVP protocol. Please make sure to use UTF-8 encoding when transmitting data. To prevent your notification from being rejected even before SOAP authentication, a valid XML structure must also be used. Otherwise, you will receive a "Rejected by Policy" error message.

The endpoint of the Web Service interface used to retrieve the protocol is:

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

To download interface descriptions and the associated XSD files, add "?wsdl" to the URLs listed above, 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 specifications):

- **wsse:Security**
  - **wsse:UsernameToken**
    - **wsse:Username**  
User name 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">Wev0sX6YsB</wsse:Password>

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

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

- User name for the MVP Portal
- Password for the MVP Portal

Important note:

The protocol only contains messages submitted by the notifying party named in the WS Security Header.

### 3.3 Web Service request

#### 3.3.1 Protocol search

You can search the protocol 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 messages submitted by the respective notifying party so far.

The following search parameters are accepted:

<b>Criterion</b>	<b>Type</b>	<b>maxOccurs</b>	<b>Wildcard</b>	<b>Description</b>
<b>meldungId</b>	int	1000	no	Message ID
<b>meldezeitpunktVon</b>	dateTime	1	no	Time of submission (from)
<b>meldezeitpunktBis</b>	dateTime	1	no	Time of submission (to)
<b>verfahrenId</b>	string (enum)	100	no	Procedure for which the

				notification is submitted
<b>haftungsgeberId</b>	string	100	no	Guarantor (entity subject to the notification requirement) on behalf of which the notification is submitted
<b>einreichungId</b>	string (enum)	100	no	Report type of notification, similar to a form
<b>statusId</b>	string (enum)	10	no	Message status
<b>meldewegId</b>	string (enum)	10	no	Reporting channel, e.g. Web Service, web form
<b>dateiname</b>	string	100	yes	Name of the file included in the message
<b>kundenreferenz</b>	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 results of this query are the protocols of all messages submitted on or after 01/07/2014 00:00:00.0 and for the specialised procedures VA (insurance supervision) or T\_VA (Test: insurance supervision).

The following example shows a syntactically correct message for protocol 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">Wev0sX6YsB</wsse:Password>
    <wsse:Nonce EncodingType="http://docs.oasis-open.org/wss/2004/01/oasis-
200401-wss-soap-message-security-
1.0#Base64Binary">6EHsL+ijzYlhVdlu2ntLOg==</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 involves the protocols for all messages for the EFT and T\_EFT procedures submitted between 01/07/2014 00:00:00.0 and 02/07/2014 00:00:00.0.

### 3.3.2 Retrieving response messages

The MVP protocol also contains response messages created during processing of the messages submitted. Depending on the procedure, a response message can consist of text and/or a feedback file. Since capacity is limited, the protocol search result does 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 feature only one or several message IDs as search parameters.

<b>Criterion</b>	<b>Type</b>	<b>maxOccurs</b>	<b>Wildcard</b>	<b>Description</b>
<b><i>meldungId</i></b>	int	10	no	Message 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">Wev0sX6YsB</wsse:Password>
  <wsse:Nonce EncodingType="http://docs.oasis-open.org/wss/2004/01/oasis-
200401-wss-soap-message-security-
1.0#Base64Binary">6EHsL+ijzYlhVdlu2ntLOg==</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 refers to the response messages for the messages with the IDs 12345 and 12346.

### 3.4 Response from the Web Service

#### 3.4.1 Protocol search results

For each message found, the response (search result) contains metadata and has a repetitive structure. The messages identified in the search result are arranged by the time of submission in chronological order (latest submission first).

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

<b>Field name</b>	<b>Field type</b>	<b>Mandatory field</b>	<b>Field description</b>
<b><i>meldungId</i></b>	int	yes	Message ID
<b><i>meldezeitpunkt</i></b>	dateTime	yes	Time of submission
<b><i>verfahrenId</i></b>	string	yes	Procedure for which the notification is submitted
<b><i>haftungsgeberId</i></b>	string	yes	Guarantor (party subject of the notification requirement) on behalf of which the notification is submitted
<b><i>einreichungId</i></b>	string	no	Submission of notification, similar to a form (type of message)
<b><i>statusId</i></b>	string	no	Message status
<b><i>meldewegId</i></b>	string	no	Reporting channel, e.g. Web Service, web form
<b><i>dateiname</i></b>	string	no	Name of the file included in the message

<b>kundenreferenz</b>	string	no	Customer reference provided by notifying party
<b>rueckmeldung</b>	complexType	no	Response message created during processing of the message
<b>bezeichnungen</b>	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 messages (element "rueckmeldung"):

<b>Field name</b>	<b>Field type</b>	<b>Mandatory field</b>	<b>Field description</b>
<b>text</b>	string	no	Free text (error message in case of an error)
<b>name</b>	string	no	Name of feedback file
<b>typ</b>	string	no	Type of feedback file (e.g. zip)
<b>groesse</b>	int	no	Size of feedback file (in bytes)

Since capacity is limited, the search result does not contain the contents of the feedback file. Please refer to chapter 3.3.2 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:

<b>Field name</b>	<b>Field type</b>	<b>Mandatory field</b>	<b>Field description</b>
<b>zeitstempel</b>	dateTime	yes	Time of query
<b>uid</b>	string	yes	ID of notifying party
<b>eingeschraenkt</b>	boolean	yes	Information on completeness of search result (pls. see note below)
<b>suchkriterien</b>	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 result if the information you are looking for is available for the respective message.

The Web Service response is signed digitally by means of the valid server certificate (WS Security Header pursuant to OASIS Standard 200401, WSS X.509 Certificate Token Profile 1.0).

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



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

The value "true" means that the result set is too large to list all messages in the search result. Therefore, the search result is incomplete (limited); older messages are left out. At the moment, the result set limit is at 1,000 messages.

Example Web Services 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/18sCPWkGw1CJc [...]
```

</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-74alaf2f9fee"
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 successful 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 of retrieving the responses

For each of the messages found, the response (search result) contains metadata and has a repetitive structure. The responses identified in the search result are arranged by the time of submission in chronological order (responses to the latest messages first).

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

<b>Field name</b>	<b>Field type</b>	<b>Mandatory field</b>	<b>Field description</b>
<b>meldungId</b>	int	yes	Message ID
<b>text</b>	string	no	Free text (error message in case of an error)
<b>name</b>	string	no	Name of feedback file
<b>typ</b>	string	no	Type of feedback file (e.g. zip)
<b>groesse</b>	int	no	Size of feedback file (in bytes)

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

<b>Field name</b>	<b>Field type</b>	<b>Mandatory field</b>	<b>Field description</b>
<b>zeitstempel</b>	dateTime	yes	Time of query
<b>uid</b>	string	yes	ID of notifying party
<b>suchkriterien</b>	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 result if the information you are looking for is available for the respective response.

The Web Service response is signed digitally by means of the valid server certificate (WS-Security Header pursuant to 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 [...]
```

```
</SignedInfo>

<SignatureValue>dYPo49LiTC7vfY/Lko5hH3yqzzEQbAcvd0MhViolqfWxSvD/18sCPWkGw1CJc [...]
```

</SignatureValue>

```
  <KeyInfo>
    <wsse:SecurityTokenReference xmlns="">
      <wsse:Reference URI="#SecurityToken-42c4ble1-4614-4d0b-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-74alaf2f9fee"
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 successful processed.</out:text>
      </out:rueckmeldung>
    </suchergebnis>
  </out:sucheMvpRueckmeldungResponse>
</soapenv:Body>
</soapenv:Envelope>
```