

# **Issues statistics on debt securities**

## Electronic Reporting System

### XML format descriptions

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# 1 Introduction

In the electronic reporting system XMW, reports can be submitted to the Deutsche Bundesbank in XML format.

This document describes the XML format to be used for submitting reports for issues statistics on debt securities to the Deutsche Bundesbank.

Technical documentation (XML schema files) and the examples given in this document are also available separately on the Deutsche Bundesbank's website at

[http://www.bundesbank.de/Navigation/DE/Service/Meldewesen/Bankenstatistik/Formate\\_XML/formate\\_xml.html](http://www.bundesbank.de/Navigation/DE/Service/Meldewesen/Bankenstatistik/Formate_XML/formate_xml.html)

## 1.1 Versions

No	Date	File	Change
1	11 July 2012	bbk_xmw_emiso_do ku.pdf	Document created
2	21 August 2012	bbk_xmw_emiso_do ku.pdf BbkXmwEmiso.xsd	Change to the BISTA classification code list
3	28 February 2013	bbk_xmw_emiso_do ku.pdf BbkXmwEmiso.xsd	Change to the BISTA classification code list
4	3 May 2013	bbk_xmw_emiso_do ku.pdf BbkXmwEmiso.xsd	<ul style="list-style-type: none"> <li>MELDUNG-EMISO --&gt; REPORT (see page 19)</li> <li>In addition to "faellig" ("matured"), "nicht abgesetzt" ("not sold") can also be entered as the price at the end of the reporting period for amounts outstanding and own holdings in the monthly reports (see p 12)</li> <li>For the issue price, redemption rate/price and price at the end of the reporting period, an "estimated rate" attribute can also be specified (see p 12)</li> <li>New type of reporting KORREKTUR (Correction) and STORNO (Cancellation) in V10371/V10372 (see p 13)</li> <li>New type of reporting KORREKTUR in V10370 (see p 13)</li> <li>File ending _k for correction reports no longer applies</li> </ul>
5	9 August 2013	bbk_xmw_emiso_do ku.pdf	<ul style="list-style-type: none"> <li>Addition of the reporting type (initial report, change report, correction report, cancellation report) in the file names (p 6)</li> <li>Labelling of the test files in the file name with "Test_" (p 6)</li> </ul>
6	23 September 2013	bbk_xmw_emiso_do ku.pdf	Exchange of AUFSTOCKUNG and KL_EINHEIT.. (only in the documentation, p 26)
7	1 October 2013	bbk_xmw_emiso_do ku.pdf	CPs: KI_NAME changed to KI (only in the documentation, p 46)

8	14 October 2013	bbk_xmw_emiso_do ku.pdf	Element <code>bbk:adresse</code> : Type of the LAND element changed to <code>bbk:isoLand</code> (only in the documentation, p 12)
9	5 November 2013	bbk_xmw_emiso_do ku.pdf	Specification of <code>xsi:schemaLocation</code> corrected (only in the documentation, p 17)
10	7 November 2013	bbk_xmw_emiso_do ku.pdf BbkXmwBasis.xsd	Change to the basic schema: Expansion of post code in the <code>bbk:adresse</code> field to 20 alphanumeric characters

## 2 Submission method

The monthly report for the issues statistics on debt securities is submitted as an XML file via the Bundesbank's ExtraNet.

### 2.1 BBk ExtraNet

For information on ExtraNet and registration options, see

[https://www.bundesbank.de/Navigation/EN/Service/Reporting\\_systems/Banking\\_statistics/ExtraNet/extranet.html?https=1&https=1&https=1](https://www.bundesbank.de/Navigation/EN/Service/Reporting_systems/Banking_statistics/ExtraNet/extranet.html?https=1&https=1&https=1)

### 2.2 XML

XML (= "eXtensible Markup Language") is the industry standard for defining documents with hierarchically structured content. It allows the definition of elements and attributes. Elements are basic modules and are composed recursively of data and other elements. An element consists of a start tag `<elementname>`, the element content and an end tag `</elementname>`. In the start tag, attributes can be added to the element using the following syntax: `attributname="attribut"`. Each XML document has a tree structure with a unique root element.

#### Example:

```
<elementname attributname="attribut">
  <elementname_1>elementinhalt_1</elementname_1>
  <elementname_2>elementinhalt_2</elementname_2>
</elementname>
```

XML is case-sensitive, ie it distinguishes between upper and lower-case characters.

XML files are pure text files. Their file extension is ".xml".

For more information on XML, see <http://www.w3.org/XML/>.

### 2.3 Validation

An XML schema describes the layout of elements, their format (numbers, text, ...) and their attributes. An XML file is termed "valid" if it conforms to its schema. An XML file can be validated using standard tools.

## 3 Reporting file

### 3.1 File name

The file name of the XML file to be submitted comprises the identification for the issues statistics on debt securities, the reporting month, the 8-digit bank sort code and a short description of the content of the report. It is

**emiso\_<yyyymm>\_<blz>\_<kb>\_<ma>.xml**

Parameter	Contents
emiso	5-digit code for the issues statistics on debt securities
<yyyymm>	Reporting month with the year as four digits and month as two digits
<blz>	Reporting bank's 8-digit bank sort code
<kb>	Short description of the content of the report: emi Issuer data (V10370) ihs_st Securities master data of the bearer debt securities (V10371) np_st Securities master data of the registered debt securities (V10372) ihs_mo Monthly stock and transaction data for bearer debt securities (V10373) np_mo Monthly stock and transaction data for registered debt securities (V10374) cp Commercial paper of domestic non-banks (V10375)
<ma>	Designation of the reporting type e Initial report a Change report k Correction report s Cancellation report

Example: **emiso\_201401\_12345678\_ihs\_mo\_e.xml**

Other naming components, such as numbering, can also be added as long as these are placed after an underscore (“\_”) and are at the end of the file name (before “.xml”).

Several XML files (with correct names) can also be combined in one ZIP file. The resulting ZIP file is named according to the same principle as the XML file, although the short description of the content of the report and the reporting type are not required. The extension is “.zip”.

Example: **emiso\_201401\_12345678.zip**

The file name for test files must begin with “TEST\_”, both in ZIP and XML files. It does not matter whether the text is in upper or lower case.

Example: **TEST\_emiso\_201309\_12345678\_ihs\_st\_e.xml**

**test\_emiso\_201309\_12345678.zip**

## 3.2 File format

Report files are coded in XML.

As an aid for creating the file, XML schemas are available for download from the Bundesbank's website at

[https://www.bundesbank.de/Navigation/DE/Service/Meldewesen/Bankenstatistik/Formate\\_XML/formate\\_xml.html](https://www.bundesbank.de/Navigation/DE/Service/Meldewesen/Bankenstatistik/Formate_XML/formate_xml.html) (only available in German).

To ensure data integrity, we recommend validating the generated XML files using the schema definitions.

Name	Description
BbkXmwBasis.xsd	Basis schema for XML reports to the Bundesbank
BbkXmwEmiso.xsd	Schema for XML reports on issues statistics on debt securities

### 3.2.1 Notation

XML is case-sensitive. In the Bundesbank's XML reporting system, the names of elements are usually written in upper-case letters, and those of attributes in lower-case letters. If different elements are located at the same hierarchical level, the sequence of elements is generally the determining factor. The sequence of attributes is arbitrary.

### 3.2.2 Character set

The character set is Latin-1/West European (ISO-8859-1). This ensures that umlauts and similar characters are displayed correctly.

The ampersand (“&”) is not permissible. However, if it is needed, for instance in the name of a bank, then it should be replaced with “&amp;”.

For example: “Mark & Meier Bank” → “Mark &amp; Meier Bank”

The less-than sign (“<”) is also not permissible. However, if it is needed, then it should be replaced with “&lt;” (or written in full).

For example: “If reporting date < 01-01-2014, then...” → “If reporting date &lt; 01-01-2014, then...”

### 3.2.3 XML declaration

Each XML report begins with the XML declaration:

```
<?xml version="1.0" encoding="ISO-8859-1"?>
```

which must always appear in the first line.

### 3.2.4 Name spaces

To differentiate the Bundesbank's general XMW schema (BbkXmwBasis.xsd) from the specific Emiso schema (BbkXmwEmiso.xsd), the following name spaces are used:

Name	Name space
BbkXmwBasis.xsd	http://www.bundesbank.de/xmw/2003-01-01
BbkXmwEmiso.xsd	http://www.bundesbank.de/statistik/emiso/v1

In the examples, the Emiso name space is used as the standard name space, ie the elements of this name space do not require any qualification. For the general XMW name space, the abbreviation bbk is used, ie all elements from this name space must be qualified with “bbk:”.

### 3.3 Element descriptions

The following table describes the elements.

Name	Req (= required)	Value range / format	Comment
elementname	+ Element is required - Element can be omitted*	Indication or description of permissible element content	Comment about the element
attribut	+ Attribute is required - Attribute can be omitted	Indication or description of permissible attribute content	Comment about the attribute

\* If an element is to be omitted, then it should be eliminated in its entirety and not just its contents.



## 3.4 Data types

The XMW schema definitions use self-defined elements and data types. These are described below.

### 3.4.1 Elements

#### I. General schema

##### **bbk:ISIN**

12-digit securities identification number in ISIN format:

The ISIN consists of 12 alphanumeric characters: **upper-case letters** and/or **numbers**. The first two characters are always upper-case letters (country code), while the remaining 10 characters are made up of upper-case letters and numbers.

#### II. EMISO schema

##### **BLZ**

Bank sort code:

The bank sort code is made up of eight numbers. A check digit may be specified in addition.

##### **BIC**

Business identifier code:

The business identifier code consists of at least eight and no more than 11 numbers or upper-case letters.

##### **RZNR**

Number of the computer centre making the submission:

The computer centre number is made up of eight or nine numbers (like the bank sort code).

##### **BEMERKUNG**

Comments field:

A comment relating to a report may consist of up to 500 characters.

##### **INTERNE\_WPK**

Internal securities identification number:

The internal securities identification number is made up of no more than 20 alphanumeric characters: **upper-case letters** and/or **numbers**.

##### **ANSCHRIFT**

Address of the issuer:

Name	Req	Value range / format	Comment
STRASSE	+	bbk:alphanum	Issuer's street
PLZ	+	Numeric, five digits	Issuer's post code
ORT	+	bbk:alphanum	Issuer's town / city
BL	+	bbk:isoBundesland	Federal state

## ANSPRECHPERSON

Contact person for reports on issues statistics on debt securities:

Name	Req	Value range / format	Comment
ANREDE	+	"Herr" or "Frau"	Contact person's form of address
VORNAME	-	bbk:alphanum	Contact person's first name
NAME	+	bbk:alphanum	Contact person's name
TELEFON	+	bbk:alphanum	Contact person's telephone number
EMAIL	+	bbk:email	Contact person's e-mail address
ABTEILUNG	-	bbk:alphanum	Contact person's division

## KONZERN

Details regarding the CI's group:

If the reporting institution is part of a group, then the name and country of domicile of the parent institution must be indicated. If the parent institution has a BIC (business identifier code), this should also be specified.

Name	Req	Value range / format	Comment
NAME	+	bbk:alphanum	Parent institution's name
LAND	+	bbk:isoLand	Parent institution's country of domicile
BIC	-	BIC	Parent institution's BIC

## RATING

Rating data:

The order of the elements can be freely chosen.

Name	Req	Value range / format	Comment
MOODYS	-	bbk:alphanum	Moody's rating
Fitch	-	bbk:alphanum	Fitch's rating
SP	-	bbk:alphanum	Standard & Poor's (S&P) rating
DBRS	-	bbk:alphanum	DBRS' rating
OTHER	-	bbk:alphanum	Rating by other rating agencies; repeatable
name	+	bbk:alphanum	Name of a rating agency not mentioned in the list

Structure:

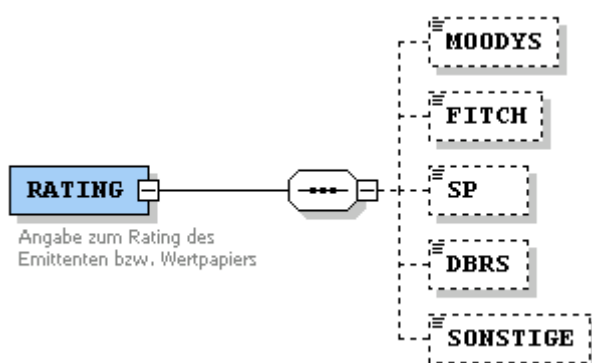


Figure 3-1

## 3.4.2 Simple data types

### I. General schema

#### **bbk:alphanum**

1 to 80 characters, alphanumeric:

The alphanum data type is used for text content, eg for name fields. Data of this type may be up to **80 characters** in length, but may **not** be left **blank**. Only upper-case letters may be used. All characters of the ISO 8859-1 character set are permitted ("&" is to be replaced with "&amp;" and "<" with "&lt;"). Multiple spaces, tabs and line breaks are reduced to a single space during editing.

#### **bbk:double**

Floating point number:

Derivation of the general double number format by suppressing the whitespaces.

#### **bbk:email**

Valid e-mail address:

A valid e-mail address takes the form 'characterstring@characterstring.do' (do = 2 to 4-character domain description). A personal or functional address can be entered.

#### **bbk:isoBundesland**

ISO federal state code:

ISO 3166-2 assigns every German federal state a code consisting of two upper-case letters, eg "BB" for the state of Brandenburg.

#### **bbk:isoLand**

ISO country code:

ISO 3166 assigns every country a code consisting of two upper-case letters, eg "DE" for Germany. One number and one upper-case letter are permissible for international organisations, for example "1Z" for the United Nations.

#### **bbk:isoWaehrung**

ISO currency code:

ISO 4217 assigns every currency a code consisting of three upper-case letters, eg "EUR" for euro.

#### **bbk:jaNein**

"yes" or "no":

The entry "yes" or "no" must always be written in lower case.

#### **bbk:telNr**

Valid telephone number format:

A valid telephone number consists of a sequence of digits. The area code is optional and can be denoted by "(" or "/", and the extension can be introduced with "-". Spaces can be used to structure the number.

### II. EMISO schema

#### **date\_unbegrenzt**

Consists of `xs:date` and "unbegrenzt" ("unlimited").

**double\_unbegrenzt**

Consists of `bbk:double` and “unbegrenzt” (“unlimited”).

**double\_faellig**

Consists of `bbk:double`, “faellig” (“matured”) and “nicht abgesetzt” (“not sold”).

**info\_kurs\_preis**

List of rate/price information, currently only “geschaetzt” (“estimated”).

**3.4.3 Complex data types****I. General schema****bbk:adresse**

The `bbk:adresse` data type standardises the form of institutions' address data. It is used in the `bbk:ERSTELLER` (CREATOR), `bbk:ADRESSAT` (ADDRESSEE), `bbk:ABSENDER` (SENDER), `bbk:MELDER` (REPORTER) elements and contains the following sub-elements.

Name	Req	Value range / format	Comment
BLZ RZNR	or +	Numeric, 8 to 9 characters	Number to identify the institution: bank sort code or number of the computer centre that created the XML report
NAME	+	<code>bbk:alphanum</code>	Institution's name
STRASSE POSTFACH	or -	<code>bbk:alphanum</code>	Institution's address
PLZ	-	Alphanumeric, 1 to 20 characters	Post code
ORT	-	<code>bbk:alphanum</code>	Town / city
LAND	-	<code>bbk:isoLand</code>	Country
KONTAKT	+	See below	Contact person or unit

**KONTAKT (contact person/unit)**

Name	Req	Value range / format	Comment
ANREDE	+	<code>bbk:alphanum</code>	Form of address
VORNAME	-	<code>bbk:alphanum</code>	First name of contact person
ZUNAME	+	<code>bbk:alphanum</code>	Last name of contact person or name of functional contact unit
ABTEILUNG	-	<code>bbk:alphanum</code>	Division
TELEFON	+	<code>bbk:telnr</code>	Telephone number (with extension)
FAX	-	<code>bbk:telnr</code>	Fax number
EMAIL	-	<code>bbk:email</code>	E-mail address
EXTRANET-ID	-	Eight letters starting with “EXN”	User name in the Bundesbank's ExtraNet (if available)

**Example:**

```

<bbk:ABSENDER>
  <BLZ>12345678</BLZ>
  <bbk:NAME>Bank AG</bbk:NAME>
  <bbk:STRASSE>ABC-Straße 9</bbk:STRASSE>
  <bbk:PLZ>88888</bbk:PLZ>
  <bbk:ORT>Irgendwo</bbk:ORT>
  <bbk:LAND>DE</bbk:LAND>

  <bbk:KONTAKT>
    <bbk:ANREDE>Herr</bbk:ANREDE>
    <bbk:VORNAME>Hans</bbk:VORNAME>
    <bbk:ZUNAME>Schmidt</bbk:ZUNAME>
    <bbk:ABTEILUNG>Wertpapiere</bbk:ABTEILUNG>
    <bbk:TELEFON>000/111-999</bbk:TELEFON>
    <bbk:FAX>000/111-888</bbk:FAX>
    <bbk:EMAIL>hans.schmidt@testbank.de</bbk:EMAIL>
    <bbk:EXTRANET-ID>EXNTESTA</bbk:EXTRANET-ID>
  </bbk:KONTAKT>
</bbk:ABSENDER>

```

It is essential to enter the optional elements in `bbk:MELDER`, `bbk:ABSENDER` and `bbk:ERSTELLER` to ensure smooth processing within the Bundesbank.

**II. Issuer master data (V10370)****meldungsart\_emi**

Indicates the reporting type on the issuer master data form

Name	Req	Value range / format	Comment
ERSTMELDUNG AENDERUNGSMELDUNG KORREKTURMELDUNG	+	(blank)	Only one entry: ERSTMELDUNG, AENDERUNGSMELDUNG <b>or</b> KORREKTURMELDUNG

**III. Securities master data for bearer debt securities and registered debt securities (V10371 / V10372)****meldungsart\_wp**

Indicates the reporting type on the securities master data form

Name	Req	Value range / format	Comment
ERSTMELDUNG AENDERUNGSMELDUNG KORREKTURMELDUNG	+	(blank)	Only one entry: ERSTMELDUNG, AENDERUNGSMELDUNG <b>or</b> KORREKTURMELDUNG

**wp\_kennung**

Security identifier: indicates the ISIN. If no ISIN is available, an internal security identifier must be provided.

Name	Req	Value range / format	Comment
ISIN <b>or</b> INTERNE_WPK	+	bbk:ISIN INTERNE_WPK	International security identifier <b>or</b> internal security identifier

**Structure:**

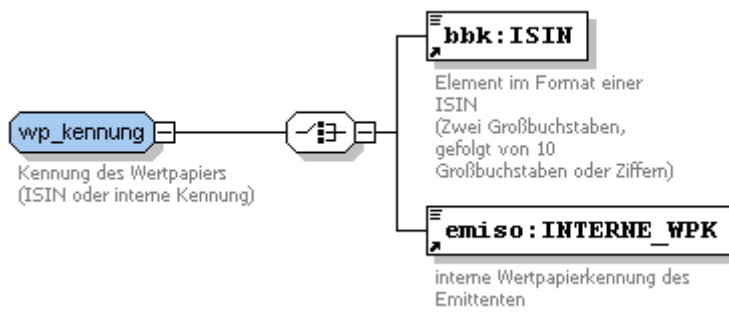


Figure 3-2

**IV. Monthly stock and transaction data (V10373 / V10374)**

**meldungsart\_mo**

Indicates whether the monthly report is an initial report or a correction report. In the case of a correction report, it should be specified whether it is a partial report or a full report.

Name	Req	Value range / format	Comment
ERSTMELDUNG KORREKTURMELDUNG	+	(blank)	Only one entry: ERSTMELDUNG <b>or</b> KORREKTURMELDUNG
art	+	teilmeldung <b>or</b> vollmeldung	Indicates whether the KORREKTURMELDUNG is a partial report or a full report

**betrag\_kurs**

Name	Req	Value range / format	Comment
WAEHRUNG	+	bbk:isoWaehrung	Currency in which the amount is specified
BETRAG	+	bbk:double	Specifies the amount
KURS	+	bbk:double	Specifies the rate

**betrag\_kurs\_faellig**

Name	Req	Value range / format	Comment
WAEHRUNG	+	bbk:isoWaehrung	Currency in which the amount is specified
BETRAG	+	bbk:double	Specifies the amount
KURS	+	double_faellig	Specifies the rate ("faellig" for securities in the reporting month of the full repayment; "nicht abgesetzt" for securities which have not yet been sold during the term)

**stueck\_preis**

Name	Req	Value range / format	Comment
WAEHRUNG	+	bbk:isoWaehrung	Currency in which the price is specified
STUECK	+	bbk:double	Unit amount
PREIS	+	bbk:double	Specifies the price

**stueck\_preis\_faellig**

Name	Req	Value range / format	Comment
WAEHRUNG	+	bbk:isoWaehrung	Currency in which the price is specified
STUECK	+	bbk:double	Unit amount
PREIS	+	double_faellig	Specifies the price ("faellig" for securities in the reporting month of the full repayment; "nicht abgesetzt" for securities which have not yet been sold during the term)

**V. Report on commercial paper (V10375)****meldungsart\_cp**

Indicates on the commercial paper form whether it is an initial or a correction report.

Name	Req	Value range / format	Comment
ERSTMELDUNG KORREKTURMELDUNG	+	(blank)	Only one entry: ERSTMELDUNG <b>or</b> KORREKTURMELDUNG

**betaege\_cp**

Shows the sum and breakdown of gross sales, redemptions, and amounts outstanding for commercial papers by issuer group:

Name	Req	Value range / format	Comment
BETRAG	+	bbk:double	Total
DAVON_NFKG	+	bbk:double	of which from non-financial corporations
DAVON_VERS	+	bbk:double	of which from insurance corporations
DAVON_SONST_FI	+	bbk:double	of which from other financial intermediaries

## 4 EMISO report

### 4.1 Structure of the XML report

All XML banking statistics files have a common, basic hierarchical structure. It begins with a root element with address information (LIEFERUNG-EMISO). It contains a reporting element (MELDUNG) which, in turn, contains form elements. The form elements (EMISO forms) contain reporting data at the lowest level of detail.

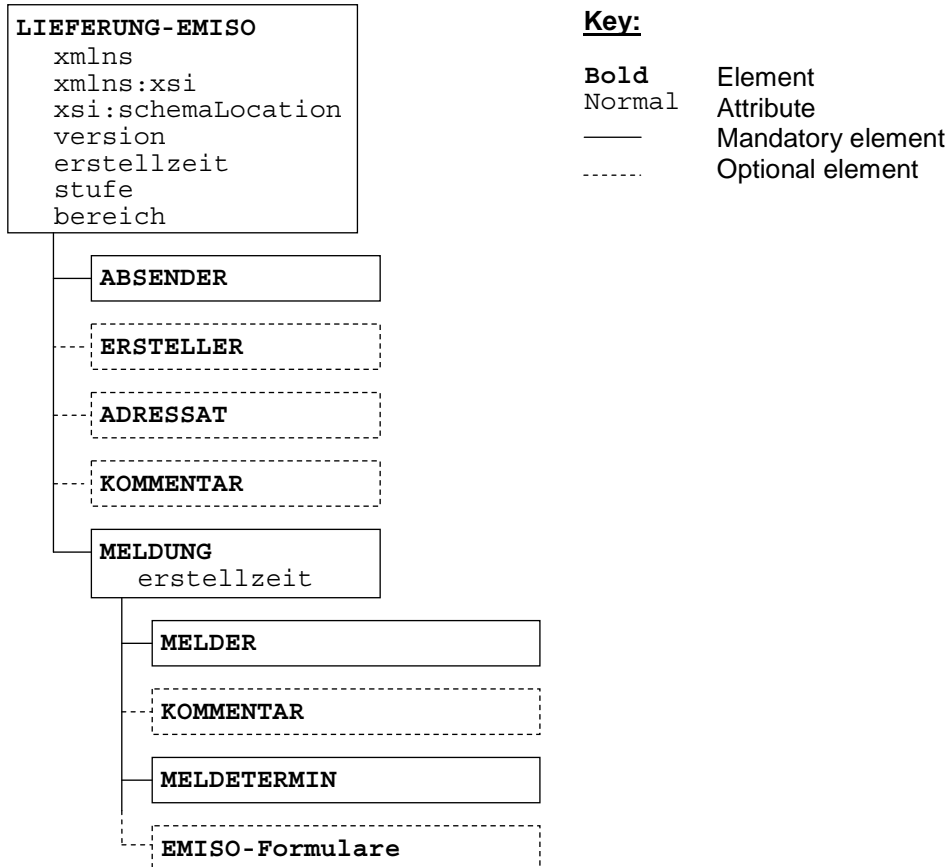


Figure 4-1



## 4.2 LIEFERUNG-EMISO

The root element of an EMISO-XMW report is called `LIEFERUNG-EMISO`.

### 4.2.1 Attributes

Name	Req	Value range / format	Comment
<code>xmlns</code>	+	<code>http://www.bundesbank.de/statistik/emiso/v1</code>	Name space of XML reporting system for issues statistics, version 1
<code>xmlns:emiso</code>	-	<code>http://www.bundesbank.de/statistik/emiso/v1</code>	Name space of XML reporting system for issues statistics, version 1
<code>xmlns:bbk</code>	+	<code>http://www.bundesbank.de/xmw/2003-01-01</code>	Name space of XML reporting system
<code>xmlns:xsi</code>	+	<code>http://www.w3.org/2001/XMLSchema-instance</code>	Name space of XML schema definition
<code>xsi:schemaLocation</code>	+	<code>http://www.bundesbank.de/statistik/emiso/v1 BbkXmwEmiso.xsd</code>	Search path for XML schema
<code>version</code>	+	"1.0"	Currently fixed
<code>erstellzeit</code>	+	yyyy-mm-ddThh:mm:ss	Example: 2014-03-01T12:00:00
<code>stufe</code>	+	"Test" or "production"	Distinguishes between test and production data
<code>bereich</code>	+	"Statistics"	
<code>dateireferenz</code>	-	Whole number ("1", "2",...)	Counter for repeated submissions

### 4.2.2 Subelements

Name	Req	Value range / format	Comment
<code>bbk:ABSENDER</code>	+	<code>bbk:adresse</code>	Submitter's address
<code>bbk:ERSTELLER</code>	-	<code>bbk:adresse</code>	Creator's address
<code>bbk:ADRESSAT</code>	-	<code>bbk:adresse</code>	Addressee's address
<code>bbk:KOMMENTAR</code>	-	<code>bbk:alphanum</code>	Comments on report
<code>MELDUNG</code>	+	See 4.3 MELDUNG	EMISO reporting data

The `bbk:ABSENDER` element is of the `bbk:adresse` data type. The contents include address information about the institution that submitted the XML file. Banks use `BLZ` as the first sub-element; this is where they enter their bank sort code. Computer centres use `RZNR` as the first sub-element; this is where they enter their computer centre number.

The `bbk:ERSTELLER` element is optional and of the `bbk:adresse` data type. It contains address information about the parties creating the XML report if they are not identical to the sender.

The `bbk:ADRESSAT` element is optional and of the `bbk:adresse` data type. As a general rule, it is not used for reports submitted to the Deutsche Bundesbank; it is intended to be used when exchanging data with third parties.

The optional `bbk:KOMMENTAR` element is irrelevant for issues statistics on debt securities.

The `MELDUNG` element is mandatory and may appear just once. It contains a reporting form for issues statistics on debt securities.

## Structure:

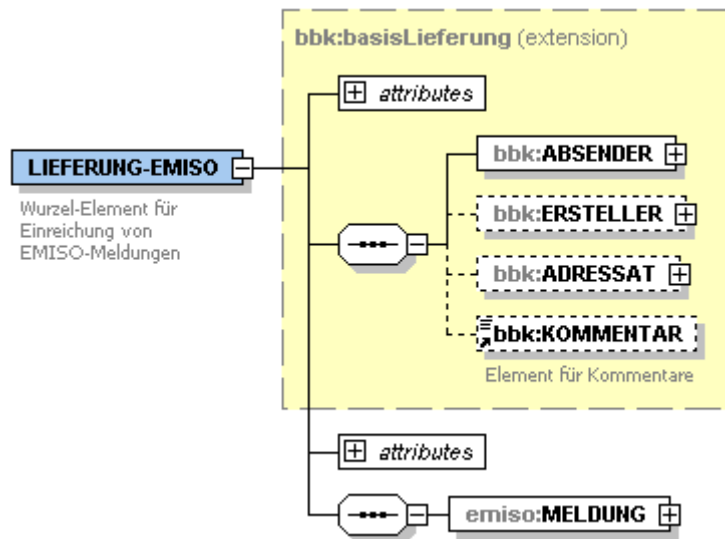


Figure 4-2

## Example:

```

<?xml version="1.0" encoding="ISO-8859-1"?>
<LIEFERUNG-EMISO xmlns="http://www.bundesbank.de/statistik/emiso/v1"
  xmlns:bbk="http://www.bundesbank.de/xmw/2003-01-01"
  xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xsi:schemaLocation="http://www.bundesbank.de/statistik/emiso/v1 BbkXmwEmiso.xsd"
  version="1.0" erstellzeit="2014-03-01T12:00:00"
  stufe="Produktion" dateireferenz="99" bereich="Statistik">
  <bbk:ABSENDER>
    <BLZ>12345678</BLZ>
    <bbk:NAME>Bank AG</bbk:NAME>
    <bbk:STRASSE>ABC-Straße 9</bbk:STRASSE>
    <bbk:PLZ>88888</bbk:PLZ>
    <bbk:ORT>Irgendwo</bbk:ORT>
    <bbk:LAND>DE</bbk:LAND>
    <bbk:KONTAKT>
      <bbk:ZUNAME>Schmidt</bbk:ZUNAME>
      <bbk:ABTEILUNG>Wertpapiere</bbk:ABTEILUNG>
      <bbk:TELEFON>000/111-999</bbk:TELEFON>
      <bbk:FAX>000/111-888</bbk:FAX>
      <bbk:EMAIL>hans.schmidt@testbank.de</bbk:EMAIL>
      <bbk:EXTRANET-ID>EXNTESTA</bbk:EXTRANET-ID>
    </bbk:KONTAKT>
  </bbk:ABSENDER>
  <bbk:ERSTELLER>
    <BLZ>12345678</BLZ>
    <bbk:NAME>Test-Bank AG</bbk:NAME>
    <bbk:KONTAKT>
      <bbk:ZUNAME>Otto</bbk:ZUNAME>
      <bbk:TELEFON>000/111-777</bbk:TELEFON>
    </bbk:KONTAKT>
  </bbk:ERSTELLER>
  <bbk:KOMMENTAR>Dies ist eine Testlieferung</bbk:KOMMENTAR>
  <MELDUNG erstellzeit="2014-01-03T12:00:00">
    <!-- ***** Meldung für die Emissionsstatistik ***** -->
  </MELDUNG>
</LIEFERUNG-EMISO>

```

## 4.3 MELDUNG

The reporting element of an EMISO-XMW report is called `MELDUNG`.

### 4.3.1 Attribute

Name	Req *	Value range / format	Comment
<code>erstellzeit</code>	+	yyyy-mm-ddThh:mm:ss	Example: 2014-01-03T12:00:00

\* Where optional elements are free of content, they need not be specified in the report.

### 4.3.2 Subelements

Name	Req	Value range / format	Comment
<code>bbk:MELDER</code>	+	<code>bbk:adresse</code>	Master data of reporting party
<code>bbk:KOMMENTAR</code>	-	<code>bbk:alphanum</code>	Comments on the report
<code>bbk:MELDETERMIN</code>	+	yyyy-mm	Reporting month
<code>FORMULAR-V10370</code>	-	See 4.4.1 FORMULAR-V10370	"Issuer data" form
<code>FORMULAR-V10371</code>	-	See 4.4.2 FORMULAR-V10371	"Securities master data - bearer debt securities" form
<code>FORMULAR-V10372</code>	-	See 4.4.3 FORMULAR-V10372	"Securities master data - registered debt securities" form
<code>FORMULAR-V10373</code>	-	See 4.4.4 FORMULAR-V10373	"Monthly stock and transaction data - bearer debt securities" form
<code>FORMULAR-V10374</code>	-	See 4.4.5 FORMULAR-V10374	"Monthly stock and transaction data - registered debt securities" form
<code>FORMULAR-V10375</code>	-	See 4.4.6 FORMULAR-V10375	"Commercial paper of domestic non-banks" form

The element `MELDUNG` may only contain one form type (eg V10370 or V10371). A new reporting file must be created for any additional forms.

Structure:

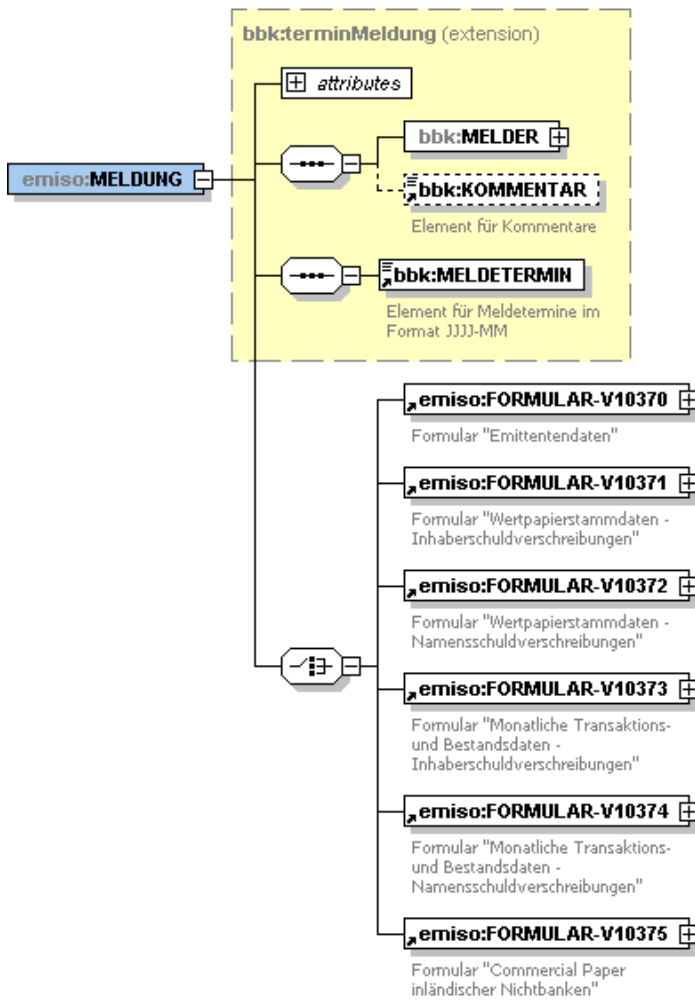


Figure 4-3

Sample structure:

```

<MELDUNG erstellzeit="2014-01-03T12:00:00">
  <!-- ***** Meldung für die Emissionsstatistik ***** -->
  <bbk:MELDER>
    <BLZ>12345678</BLZ>
    <bbk:NAME>Test Bank</bbk:NAME>
    <bbk:STRASSE>ABC- Straße</bbk:STRASSE>
    <bbk:PLZ>99999</bbk:PLZ>
    <bbk:ORT>Irgendwo</bbk:ORT>
    <bbk:KONTAKT>
      <bbk:ZUNAME>Otto</bbk:ZUNAME>
      <bbk:TELEFON>000/111-777</bbk:TELEFON>
    </bbk:KONTAKT>
  </bbk:MELDER>
  <bbk:KOMMENTAR>Dies ist eine Testmeldung</bbk:KOMMENTAR>
  <bbk:MELETERMIN>2014-01</bbk:MELETERMIN>
  <FORMULAR-V10371>
    <!-- Emiso-Formular V10371 -->
  </FORMULAR-V10371>
</MELDUNG>
    
```

## 4.4 EMISO forms

### 4.4.1 FORMULAR-V10370 (Issuer data)

The issuer data are to be sent **once** by each issuer **when the new reporting schema is introduced**.

In the case of changes to data (eg change of contact person) or corrections, the complete form is also to be submitted.

Just one `EMITTENTENDATEN` element should be specified for each `FORMULAR-V10370` form element.

Name	Req	Value range / format	Comment
	+	See <code>meldungsart_emi</code>	
<code>EMITTENTENDATEN</code>	+	See <code>EMITTENTENDATEN</code>	Information about the submitting credit institution (address, contact person etc)

Structure:



Sample structure:

Figure 4-4

```

<FORMULAR-V10370>
  <ERSTMELDUNG/>
  <EMITTENTENDATEN>
    <!-- Angaben zum Emittenten -->
  </EMITTENTENDATEN>
</FORMULAR-V10370>
    
```

## EMITTENTENDATEN

Name	Req	Value range / format	Comment
------	-----	----------------------	---------

### kopf\_emi

NAME	+	bbk:alphanum	Complete issuer designation
BLZ	+	Numeric, 8-9 digits	8 or 9 digit bank sort code (9th digit is the check digit)
BIC	+	BIC	Issuer's BIC
EMI_KLASSIFIZIERUNG	+	See <b>5.1 Code list for issuer classification</b>	Issuer's classification

ANSCHRIFT	+	ANSCHRIFT	Issuer's address
ANSPRECHPERSON	+	ANSPRECHPERSON	Contact person for issues statistics
KONZERN	-	KONZERN	Group affiliation
RATING	-	RATING	Issuer's rating data; repeatable
BEMERKUNG	-	BEMERKUNG	Comment

### Structure:

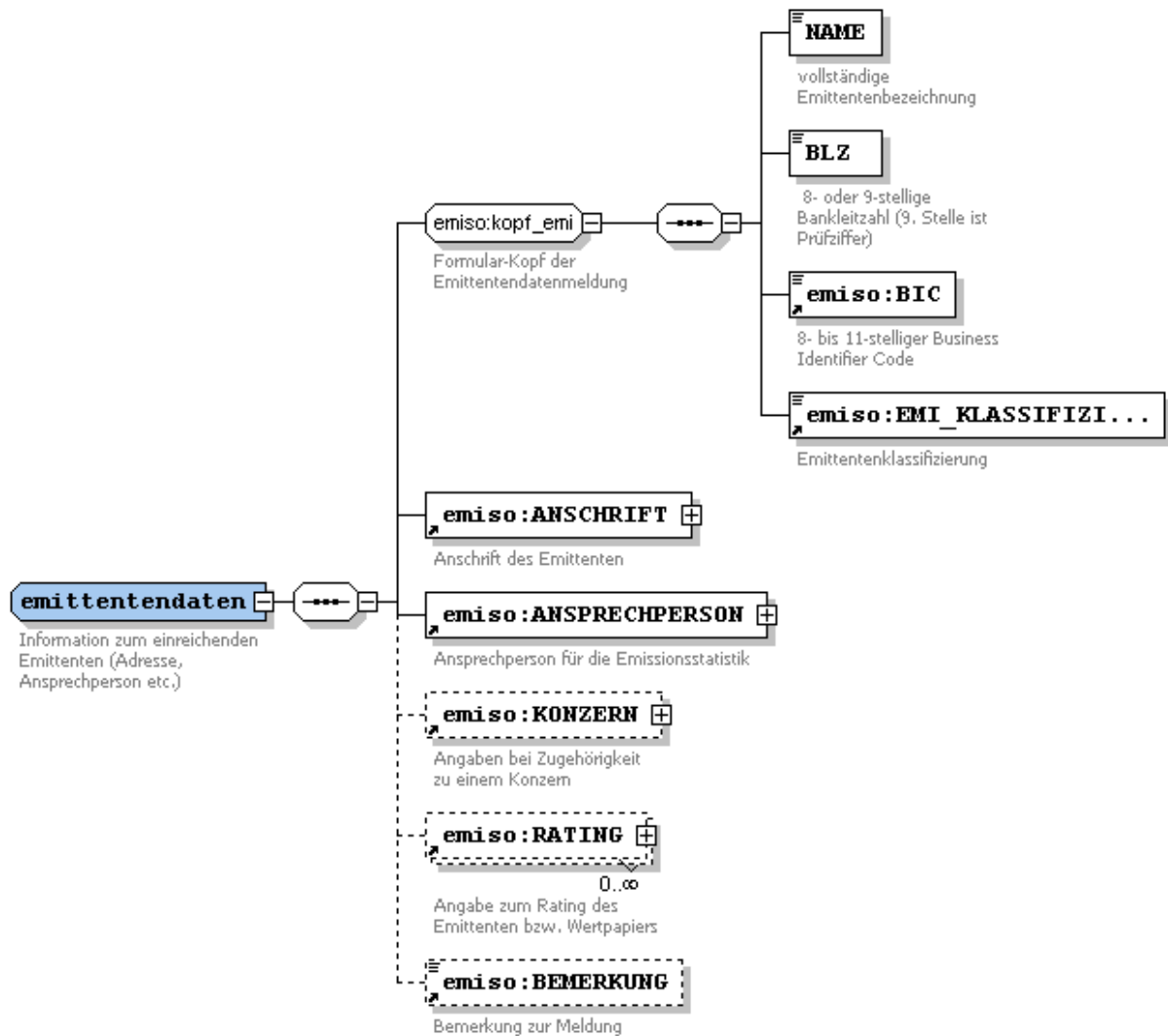


Figure 4-5

**Example:**

```
<EMITTENTENDATEN>
  <NAME>Beispielbank</NAME>
  <BLZ>12345678</BLZ>
  <BIC>ABCDDE123</BIC>
  <EMI_KLASSIFIZIERUNG>Großbank</EMI_KLASSIFIZIERUNG>
  <ANSCHRIFT>
    <STRASSE>ABC-Straße 1</STRASSE>
    <PLZ>12345</PLZ>
    <ORT>Beispielort</ORT>
    <BL>HE</BL>
  </ANSCHRIFT>
  <ANSPRECHPERSON>
    <ANREDE>Frau</ANREDE>
    <NAME>Müller</NAME>
    <TELEFON>069/12345-6789 </TELEFON>
    <EMAIL>g.Mueller@beispielbank.de</EMAIL>
    <ABTEILUNG>Meldewesen</ABTEILUNG>
  </ANSPRECHPERSON>
  <KONZERN>
    <NAME>Beispielkonzern</NAME>
    <LAND>DE</LAND>
    <BIC>ABSDDE456</BIC>
  </KONZERN>
  <RATING>
    <MOODYS>AA-</MOODYS>
    <FITCH>aa</FITCH>
    <SONSTIGE name="irgendeineAgentur">A4-</SONSTIGE>
  </RATING>
  <BEMERKUNG>Fusion mit X-Bank (BLZ 50412345) zum 31.12.2013</BEMERKUNG>
</EMITTENTENDATEN>
```

### 4.4.2 FORMULAR-V10371 (Securities master data for bearer debt securities)

Master data for bearer debt securities are submitted once when the security is launched (initial report), if there are planned changes to the characteristics (change report) or if reporting errors need to be corrected (correction report). Form V10371 is also to be used in the case where an entire issue (IHS) is cancelled.

All mandatory fields have to be completed for initial, change and correction reports. In the case of a cancellation report, only the ISINs or the internal securities identification numbers have to be given.

As many STAMMDATEN\_IHS elements can be specified as required for each FORMULAR-V10371 form element.

Name	Req	Value range / format	Comment
------	-----	----------------------	---------

**Initial, change or correction report:**

	+	See meldungsart_wp	
STAMMDATEN_IHS	+	See STAMMDATEN_IHS	Master data of the bearer debt security; repeatable

**Cancellation report:**

**storno\_wp**

STORNOMELDUNG	+	(blank)	Only STORNOMELDUNG
ISIN or INTERNE_WPK	+	wp_kennung	Security identifier; repeatable

**Structure:**

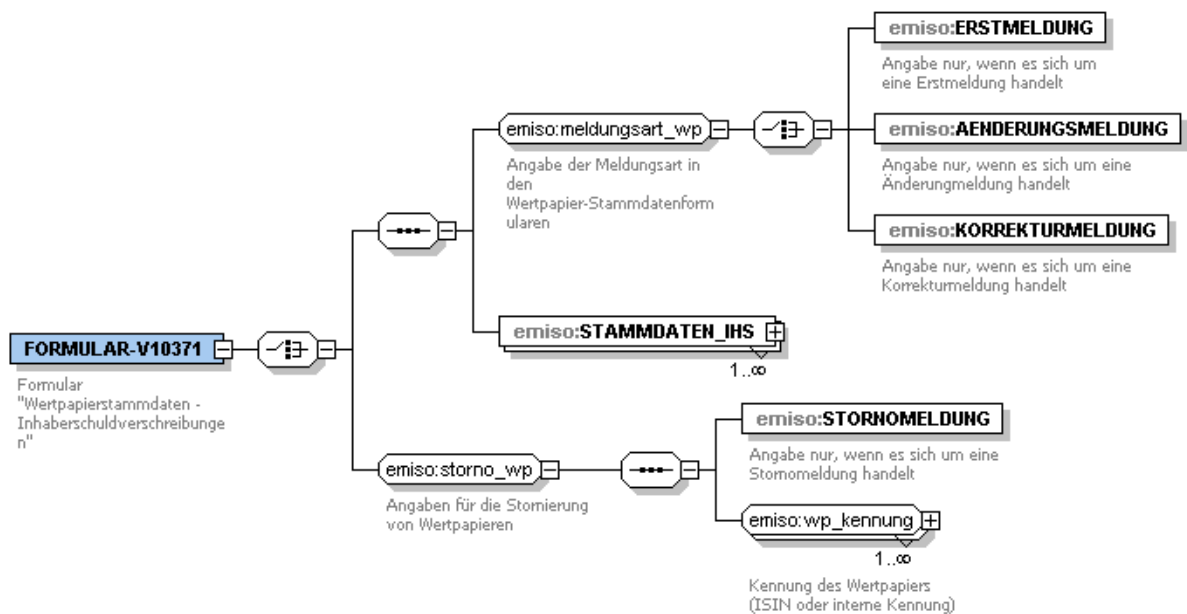


Figure 4-6



**Sample structure:**

```
<FORMULAR-V10371>
  <ERSTMELDUNG/>
  <STAMMDATEN_IHS>
    <!-- ***** Stammdaten der Inhaberschuldverschreibung ABC -->
  </STAMMDATEN_IHS>
  <STAMMDATEN_IHS>
    <!-- ***** Stammdaten der Inhaberschuldverschreibung DEF -->
  </STAMMDATEN_IHS>
  <STAMMDATEN_IHS>
    <!-- ***** Stammdaten der Inhaberschuldverschreibung XYZ -->
  </STAMMDATEN_IHS>
</FORMULAR-V10371>
```

**STAMMDATEN\_IHS**

Name	Req	Value range / format	Comment
------	-----	----------------------	---------

**kopf\_wp**

ISIN INTERNE WPK	or	+	wp_kennung	Security identifier
WP_ART		+	See 5.2 Code list for type of security	Type of security
NAME		+	bbk:alphanum	Security designation

**emissionsdaten\_ihs****emissionsdaten**

EMISSIONSBETRAG	+	double_unbegrenzt	Amount issued in currency units (CU) and issue price for securities quoted as a percentage
EMISSIONSKURS	+	bbk:double	
info	-	info_kurs_preis	

or

EMISSIONSSTUECK	+	double_unbegrenzt	Issue volume (in units) and issue price for securities quoted as a number of units
EMISSIONSPREIS	+	bbk:double	
info	-	info_kurs_preis	

WAEHRUNG	+	bbk:isoWaehrung	Issue currency
----------	---	-----------------	----------------

AUFSTOCKUNG	-	See below	Information on tap issues
-------------	---	-----------	---------------------------

**AUFSTOCKUNG** (entry is optional, but can be repeated as often as required)

TERMIN	+	xs:date	Date of tap issue
--------	---	---------	-------------------

BETRAG	-	bbk:double	Tap issue amount in CU
--------	---	------------	------------------------

or

STUECK	-	bbk:double	Tap issue amount in units
--------	---	------------	---------------------------

KL_EINHEIT_WE	+	bbk:double	Smallest transferrable unit in CU
---------------	---	------------	-----------------------------------

or

KL_EINHEIT_STCK	+	bbk:double	Smallest transferrable unit in units
-----------------	---	------------	--------------------------------------

POOL	-	See below	Information on pool factor
------	---	-----------	----------------------------

**POOL** (entry is optional, but can be repeated as often as required)

TERMIN	+	xs:date	Pool factor change date
--------	---	---------	-------------------------

FAKTOR	-	bbk:double	Pool factor
--------	---	------------	-------------

**laufzeit\_ihs**

LZ_BEGINN	+	xs:date	Start date
-----------	---	---------	------------

RZ_ART	+	See 5.3 Code list for type of redemption	Type of redemption
--------	---	--	--------------------

RZ_WAEHRUNG	+	bbk:isoWaehrung	Redemption currency
-------------	---	-----------------	---------------------

RZ_ANGABEN	+	See below	Information on redemption
------------	---	-----------	---------------------------

**RZ\_ANGABEN** (to be entered at least once, but can be repeated as often as required)

RZ_TERMIN	+	date_unbegrenzt	Redemption date
-----------	---	-----------------	-----------------

RZ_KURS	-	bbk:double	Redemption rate for securities quoted as a percentage
info	-	info_kurs_preis	

or

RZ_PREIS	-	bbk:double	Redemption price for securities quoted as a number of units
info	-	info_kurs_preis	

ERSTE_SCHULDNERK	-	xs:date	First date on which debtor can terminate
ERSTE_GLAEBIGERK	-	xs:date	First date on which creditor can terminate

**verzinsung\_ihs**

ZINSART	+	See 5.4 Code list for type of coupon	Type of coupon
ZINSPERIODE	+	See 5.5 Code list for coupon period	Coupon period

**zinsangaben\_opt\_ihs** (this is not required for zero coupon bonds and other securities with no coupon, therefore optional)

ZINSWAHRUNG	+	bbk:isoWaehrung	Interest currency
ZINSANGABEN	+	See below	

**ZINSANGABEN** (to be entered at least once, but can be repeated as often as required)

ZINSTERMIN	+	xs:date	Coupon date
ZINSSATZ	-	bbk:double	Interest rate

ZINSREF	-	See 5.6 Code list for reference interest rate	Reference interest rate
---------	---	---	-------------------------

**zusatzangaben\_ihs**

BOERSENNOTIERUNG	+	bbk:jaNein	Listing on a stock exchange
NACHRANGIG	+	bbk:jaNein	Indicates whether security is subordinated
ZERTIFIKAT_TYP	-	See 5.7 Code list for type of certificate	Type of certificate (only to be completed for certificates)
BASIS	-	See 5.8 Code list for underlying	Underlying of security (to be completed if redemption occurs on the basis of the underlying)
ISIN_BASIS	-	bbk:ISIN	ISIN of underlying; repeatable
KNOCK_OUT	+	bbk:jaNein	Knock-out paper
STAATSGT	+	bbk:jaNein	Indicates whether a government guarantee exists on the security
PRIVPLATZ	+	bbk:jaNein	Indicates whether this is a private placement
DECKUNG	-	See 5.9 Code list for coverage of the security	Coverage of security
BISTA	+	See 5.10 Code list for BISTA	Indicates the BISTA item in which the security is included
RATING	-	RATING	Rating data relating to the security; repeatable

BEMERKUNG	-	BEMERKUNG	Comment
-----------	---	-----------	---------

Structure:

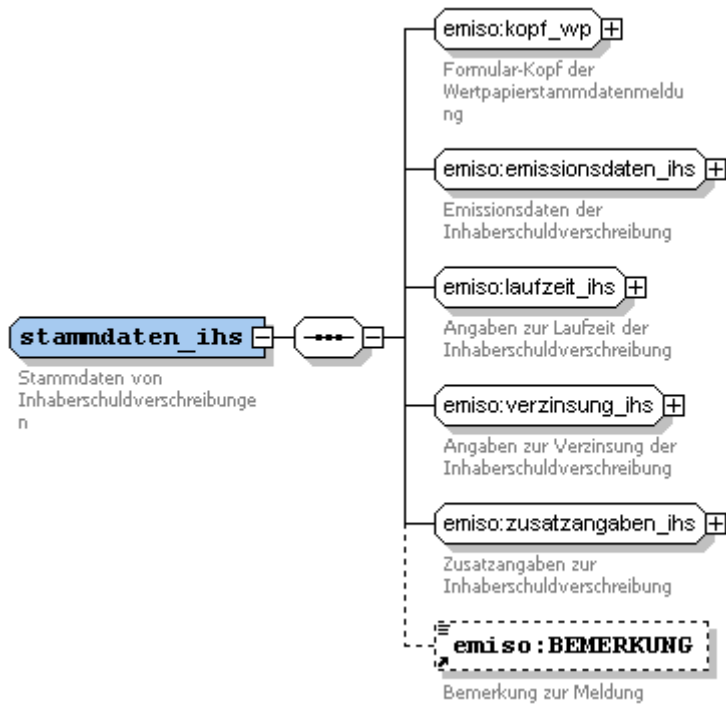


Figure 4-7

Structure of emiso:kopf\_wp

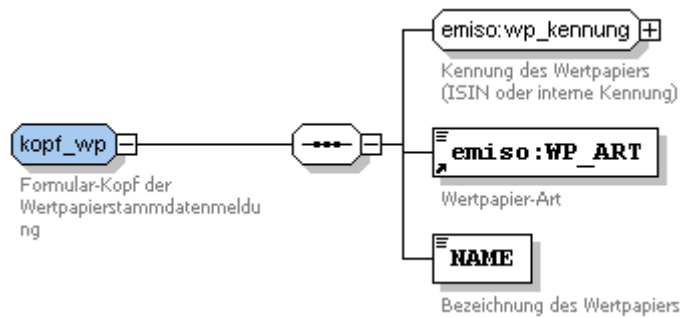


Figure 4-8

Structure of emiso:emissionsdaten\_ihs

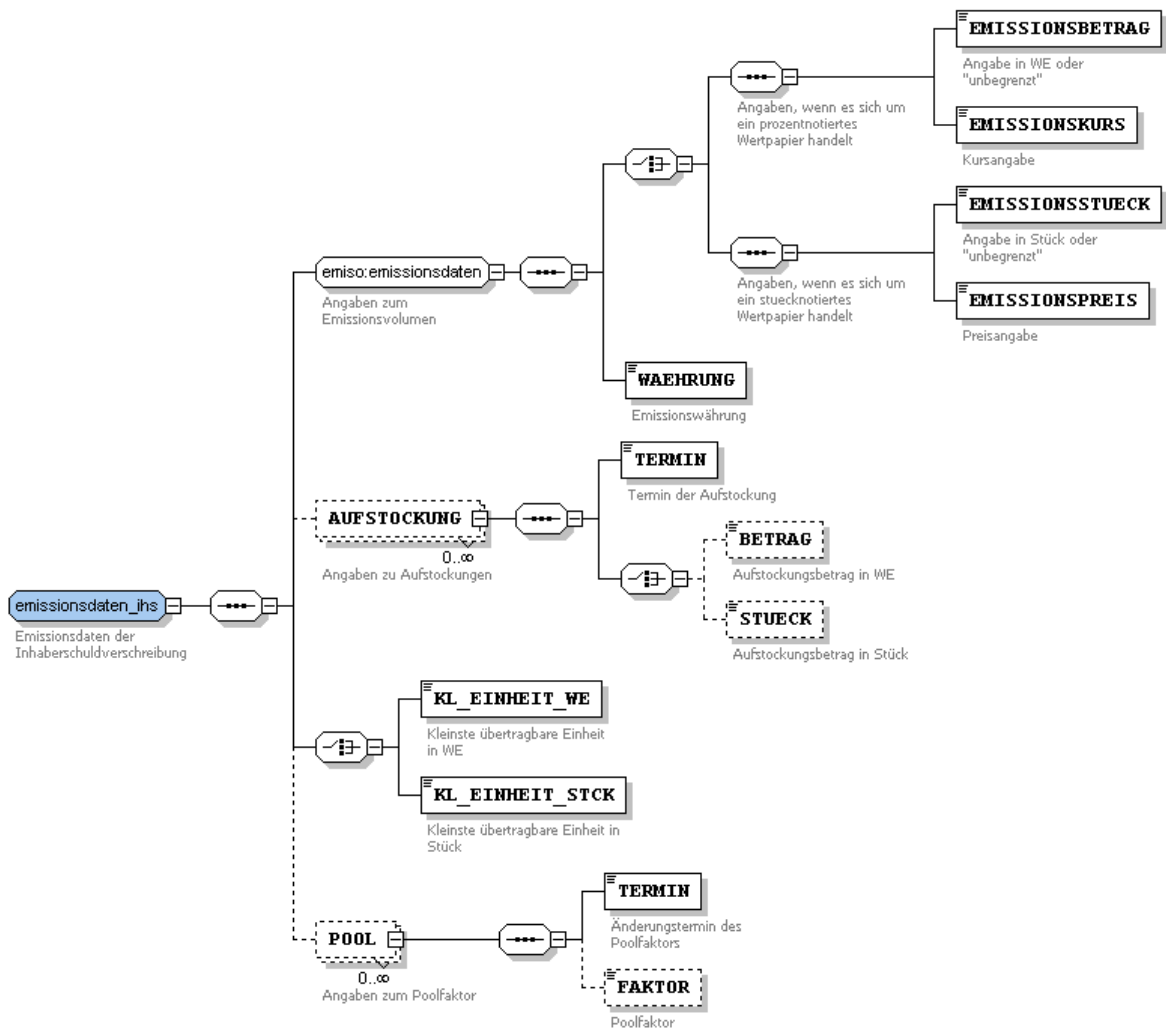


Figure 4-9

Structure of emiso:laufzeit\_ihs

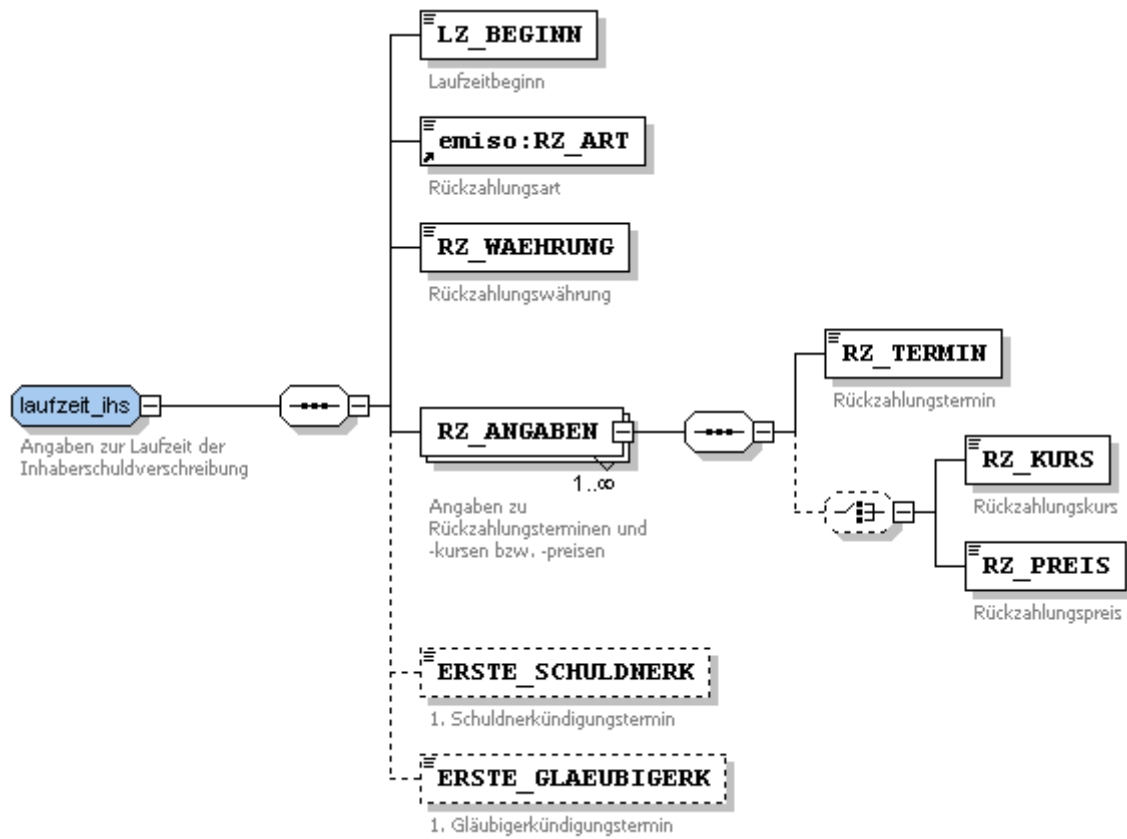


Figure 4-10

Structure of emiso:verzinsung\_ihs

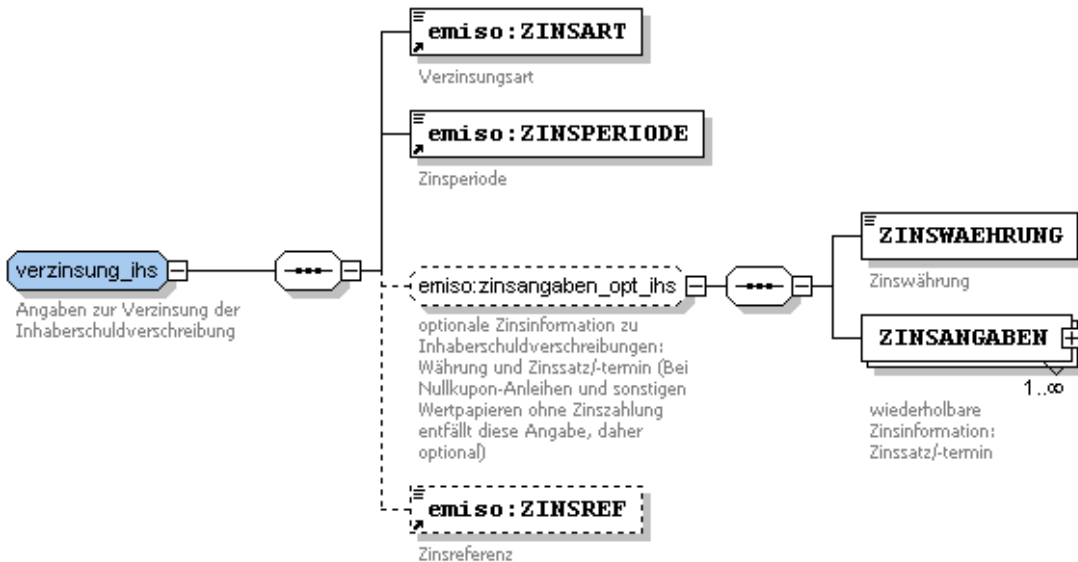


Figure 4-11

Structure of emiso:zusatzangaben\_ihs

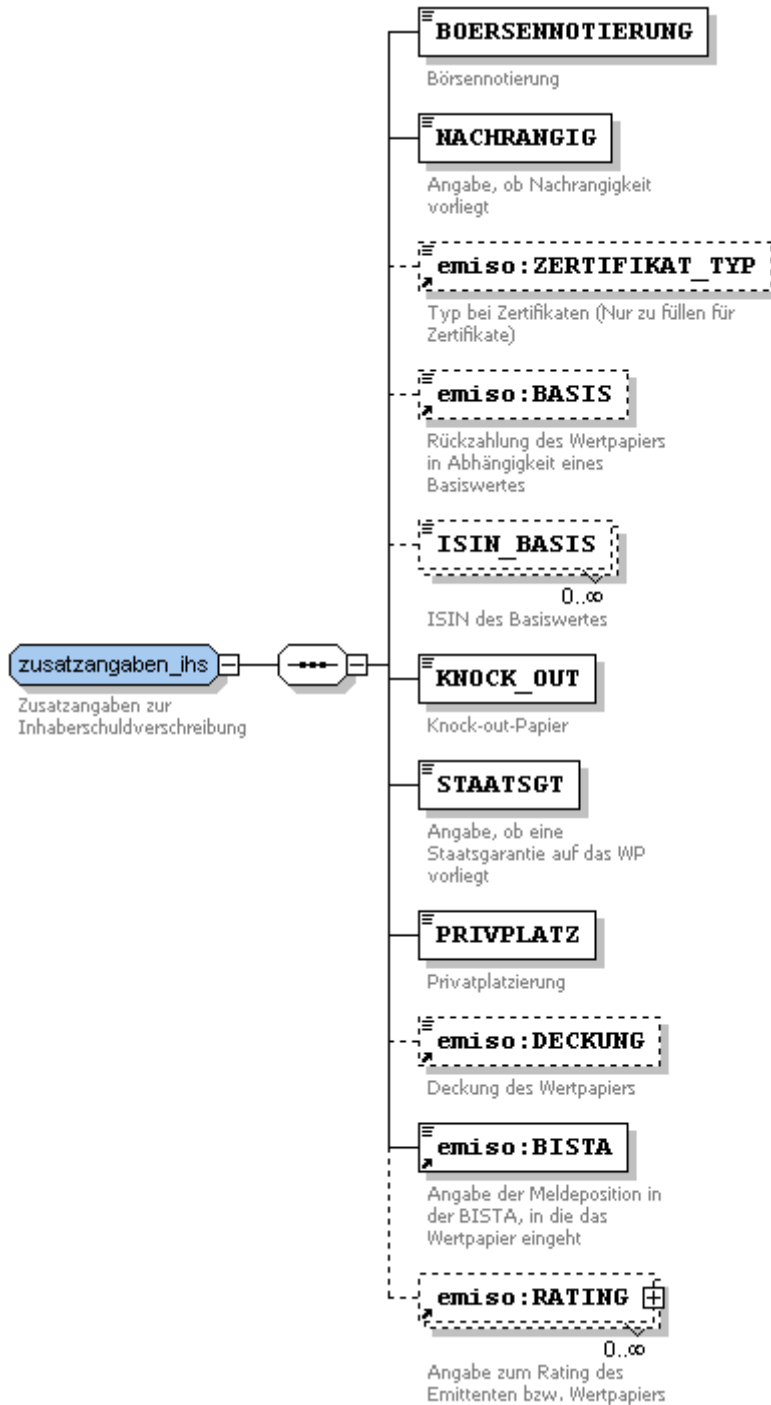


Figure 4-12

**Example:**

```
<STAMMDATEN_IHS>
  <!-- Kopf der Meldung -->
  <bbk:ISIN>DE00012345A8</bbk:ISIN>
  <WP_ART>Hypothekendarfbrief</WP_ART>
  <NAME>Hypothekendarfbrief S. 01 v. 2013 (2018)</NAME>

  <!-- Emissionsdaten -->
  <EMISSIONSBETRAG>25000000</EMISSIONSBETRAG>
  <EMISSIONSKURS>100.00</EMISSIONSKURS>
  <WAEHRUNG>EUR</WAEHRUNG>
  <KL_EINHEIT_WE>1000</KL_EINHEIT_WE>

  <!-- Laufzeitangaben -->
  <LZ_BEGINN>2013-01-15</LZ_BEGINN>
  <RZ_ART>gesamtfällig</RZ_ART>
  <RZ_WAEHRUNG>EUR</RZ_WAEHRUNG>
  <RZ_ANGABEN>
    <RZ_TERMIN>2018-01-15</RZ_TERMIN>
    <RZ_KURS>100.00</RZ_KURS>
  </RZ_ANGABEN>
  <ERSTE_SCHULDNERK>2015-01-15</ERSTE_SCHULDNERK>
  <ERSTE_GLAEBIGERK>2015-01-15</ERSTE_GLAEBIGERK>

  <!-- Zinsangaben -->
  <ZINSART>stufe</ZINSART>
  <ZINSPERIODE>jährlich</ZINSPERIODE>
  <ZINSWAEHRUNG>EUR</ZINSWAEHRUNG>
  <ZINSANGABEN>
    <ZINSTERMIN>2014-01-15</ZINSTERMIN>
    <ZINSSATZ>3.10</ZINSSATZ>
  </ZINSANGABEN>
  <ZINSANGABEN>
    <ZINSTERMIN>2015-01-15</ZINSTERMIN>
    <ZINSSATZ>3.20</ZINSSATZ>
  </ZINSANGABEN>
  <ZINSANGABEN>
    <ZINSTERMIN>2016-01-15</ZINSTERMIN>
    <ZINSSATZ>3.30</ZINSSATZ>
  </ZINSANGABEN>

  <!-- Zusatzangaben -->
  <BOERSENNOTIERUNG>ja</BOERSENNOTIERUNG>
  <NACHRANGIG>nein</NACHRANGIG>
  <KNOCK_OUT>nein</KNOCK_OUT>
  <STAATSGT>nein</STAATSGT>
  <PRIVPLATZ>nein</PRIVPLATZ>
  <DECKUNG>Wohnimmobilien</DECKUNG>
  <BISTA>F1 100/03</BISTA>

  <!-- Ratingangaben -->
  <RATING>
    <FITCH>AAA</FITCH>
    <MOODYS>aaa</MOODYS>
  </RATING>
</STAMMDATEN_IHS>
```



### 4.4.3 FORMULAR-V10372 (Securities master data for registered debt securities)

Master data for registered debt securities are submitted once when the securities are launched (initial report), if there are planned changes to the characteristics (change report) or if reporting errors need to be corrected (correction report). Form V10372 is also to be used if an entire issuance (registered debt security) is to be cancelled.

All mandatory fields are to be completed for initial, change and correction reports. In the case of a cancellation report, only the ISINs or the internal securities identification numbers are to be submitted.

As many STAMMDATEN\_NP elements as required can be specified for each FORMULAR-V10372 form element.

The reporting requirements are a selection of those contained in the form for bearer debt securities (V10371). The requirements for registered debt securities refer to a smaller number of attributes; furthermore, repeatable attributes (such as the redemption date) have to be given only once. To make programming easier, these attributes can also be defined as repeatable in the XML schema in the same way as for bearer debt securities.

Name	Req	Value range / format	Comment
------	-----	----------------------	---------

**Initial, change or correction report:**

	+	See meldungsart_wp	
STAMMDATEN_NP	+	See STAMMDATEN_NP	Master data of the registered debt security; repeatable

**Cancellation report:**

**storno\_wp**

STORNOMELDUNG	+	(blank)	Only STORNOMELDUNG
ISIN or INTERNE_WPK	+	wp_kennung	Security identifier; repeatable

**Structure:**

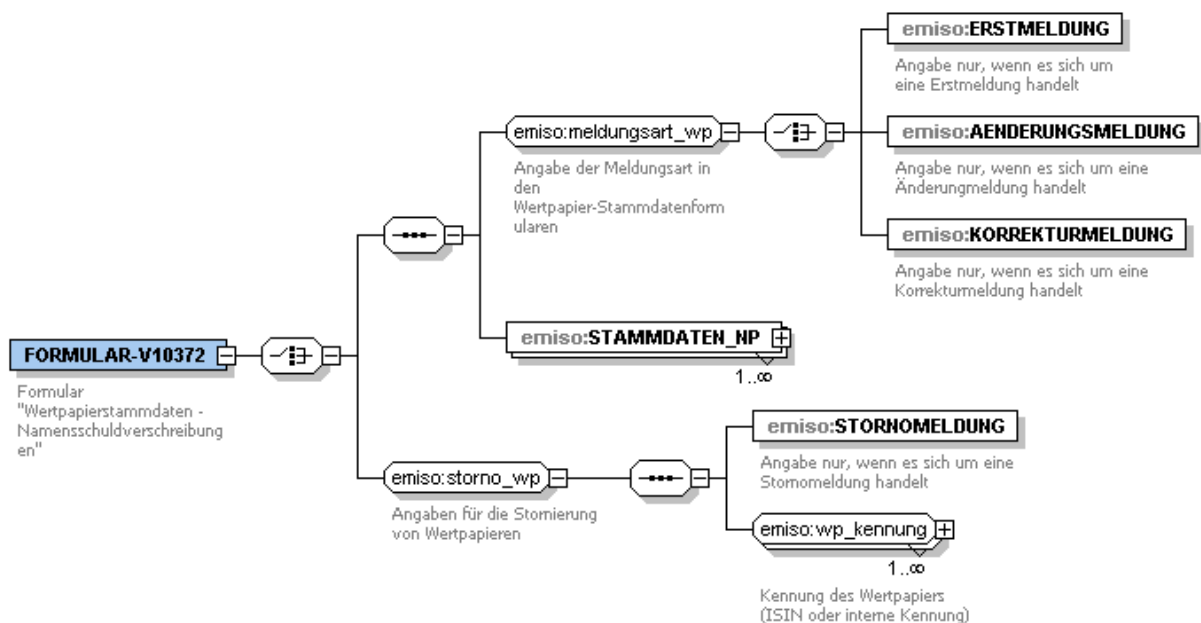


Figure 4-13

**Sample structure:**

```
<FORMULAR-V10372>
  <ERSTMELDUNG/>
  <STAMMDATEN_NP>
    <!-- ***** Stammdaten der Namensschuldverschreibung ABC -->
  </STAMMDATEN_NP>
  <STAMMDATEN_NP>
    <!-- ***** Stammdaten der Namensschuldverschreibung DEF -->
  </STAMMDATEN_NP>
  <STAMMDATEN_NP>
    <!-- ***** Stammdaten der Namensschuldverschreibung XYZ -->
  </STAMMDATEN_NP>
</FORMULAR-V10372>
```

**STAMMDATEN\_NP**

Name	Req	Value range / format	Comment
------	-----	----------------------	---------

**kopf\_wp**

ISIN INTERNE WPK	or	+	wp_kennung	Security identifier
WP_ART		+	See 5.2 Code list for type of security	Type of security
NAME		+	bbk:alphanum	Security designation

**emissionsdaten\_np****emissionsdaten**

EMISSIONSBETRAG	+	double_unbegrenzt	Amount issued in currency units (CU) and issue rate for securities quoted as a percentage
EMISSIONSKURS	+	bbk:double	
info	-	info_kurs_preis	

or

EMISSIONSSTUECK	+	double_unbegrenzt	Issue volume (in units) and issue price for securities quoted as a number of units
EMISSIONSPREIS	+	bbk:double	
info	-	info_kurs_preis	

WAEHRUNG	+	bbk:isoWaehrung	Issue currency
----------	---	-----------------	----------------

**laufzeit\_np**

LZ_BEGINN	+	xs:date	Start date
RZ_ANGABEN	+	See below	Information on redemption

**RZ\_ANGABEN** (to be entered at least once, but can be repeated as often as required in theory)

RZ_TERMIN	+	date_unbegrenzt	(Final) redemption date
-----------	---	-----------------	-------------------------

**verzinsung\_np**

ZINSART	+	See 5.4 Code list for type of coupon	Type of coupon
ZINSPERIODE	+	See 5.5 Code list for coupon period	Coupon period

**zinsangaben\_opt\_np** (optional)

ZINSANGABEN	+	See below	
-------------	---	-----------	--

**ZINSANGABEN** (to be entered at least once, but can be repeated as often as required in theory)

ZINSTERMIN	+	xs:date	(First) coupon date
ZINSSATZ	-	bbk:double	Interest rate

**zusatzangaben\_np**

NACHRANGIG	+	bbk:jaNein	Indicates whether security is subordinated
BISTA	+	See 5.10 Code list for BISTA	Indicates the BISTA item in which the security is included

BEMERKUNG	-	BEMERKUNG	Comment
-----------	---	-----------	---------

Structure:

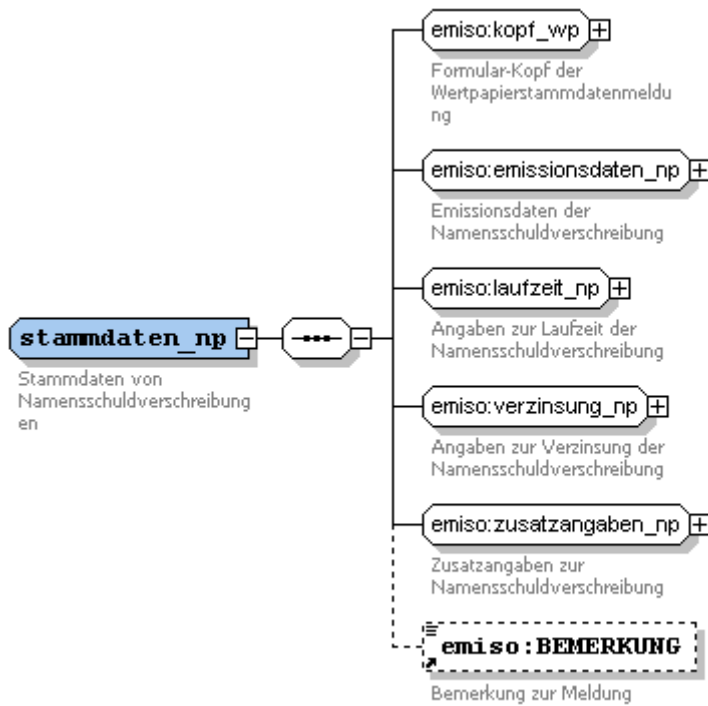


Figure 4-14

Structure of emiso:kopf\_wp

See Figure 4-8, page 28

Structure of emiso:emissionsdaten\_np

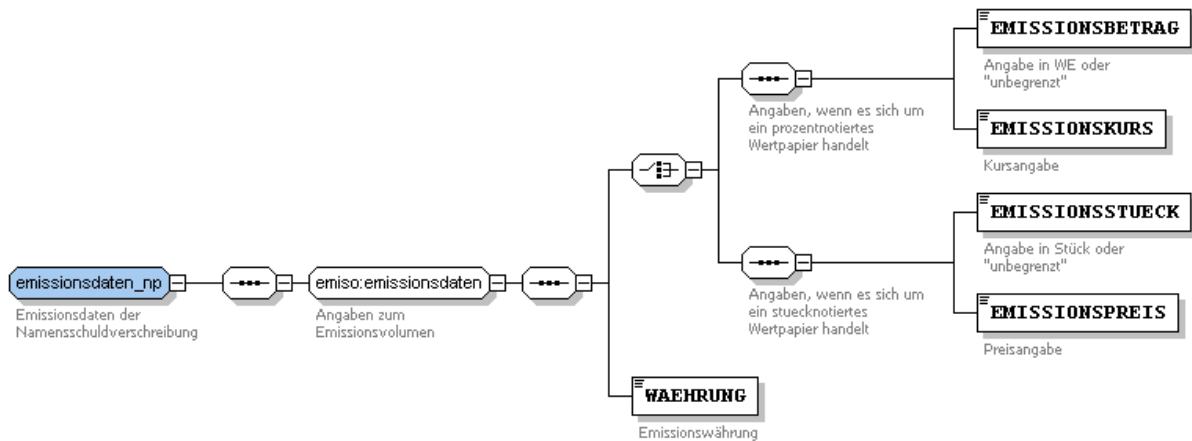


Figure 4-15

Structure of emiso:laufzeit\_np

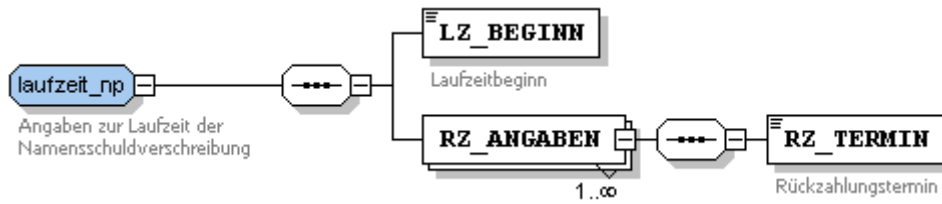


Figure 4-16

Structure of emiso:verzinsung\_np

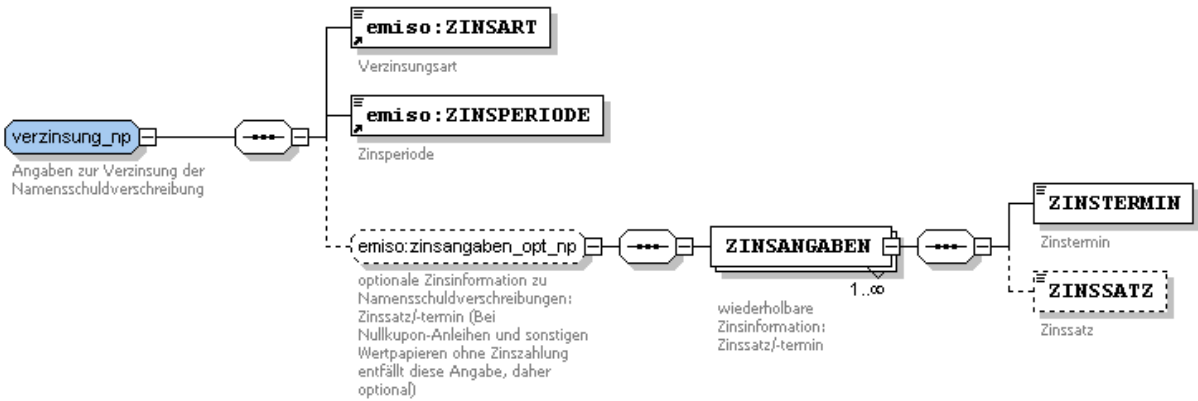


Figure 4-17

Structure of emiso:zusatzangaben\_np

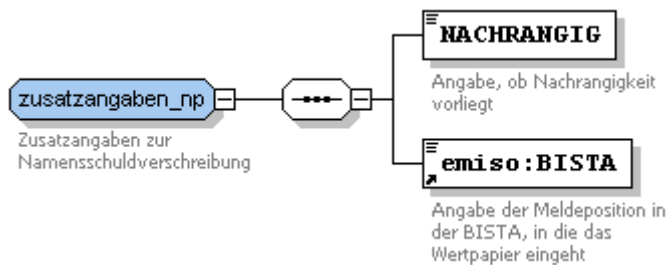


Figure 4-18

**Example:**

```
<STAMMDATEN_NP>
  <!-- Kopf der Meldung -->
  <INTERNE_WPK>XF112233</INTERNE_WPK>
  <WP_ART>sonstige Schuldverschreibung</WP_ART>
  <NAME>BeispBank NamensSV S.123</NAME>

  <!-- Emissionsdaten -->
  <EMISSIONSBETRAG>200000</EMISSIONSBETRAG>
  <EMISSIONSKURS>100</EMISSIONSKURS>
  <WAEHRUNG>EUR</WAEHRUNG>

  <!-- Laufzeitangaben -->
  <LZ_BEGINN>2014-08-13</LZ_BEGINN>
  <RZ_ANGABEN>
    <RZ_TERMIN>2020-08-13</RZ_TERMIN>
  </RZ_ANGABEN>

  <!-- Zinsangaben -->
  <ZINSART>fest</ZINSART>
  <ZINSPERIODE>jährlich</ZINSPERIODE>
  <ZINSANGABEN>
    <ZINSTERMIN>2015-08-13</ZINSTERMIN>
    <ZINSSATZ>3.00</ZINSSATZ>
  </ZINSANGABEN>

  <!-- Zusatzangaben -->
  <NACHRANGIG>nein</NACHRANGIG>
  <BISTA>HV22 219</BISTA>
</STAMMDATEN_NP>
```

#### 4.4.4 FORMULAR-V10373 (Monthly stock and transaction data for bearer debt securities)

Every credit institution has to submit a monthly report on bearer debt securities issued. The report includes all bearer debt securities with stocks as at month-end (amounts outstanding, own holdings) and all transaction data (gross sales, redemption) for the reporting month.

The "Amounts outstanding" and "Own holdings" fields may not be blank (if necessary, "0" can be entered). As there may be several sales or redemptions in a month for each ISIN, the "Gross sales" and "Redemption" fields can be repeated as often as required.

In the case of a correction report for the same reporting month, the entire reporting file must be submitted (all ISINs for the institution; all details for each ISIN). If a correction report is submitted for the past, this report can either list all securities or just the security that requires correction (however, all details concerning gross sales, redemption, amounts outstanding and own holdings are required for each security). The report must indicate whether it is a partial report or a full report.

As many MONATSDATEN\_IHS elements as required can be specified for each FORMULAR-V10373 form element.

Name	Req	Value range / format	Comment
	+	See meldungsart_mo	
MONATSDATEN_IHS	+	See MONATSDATEN_IHS	Gross sales, redemption, amounts outstanding, own holdings of bearer debt securities; repeatable
BEMERKUNG	-	BEMERKUNG	Comments on the report

##### Structure:

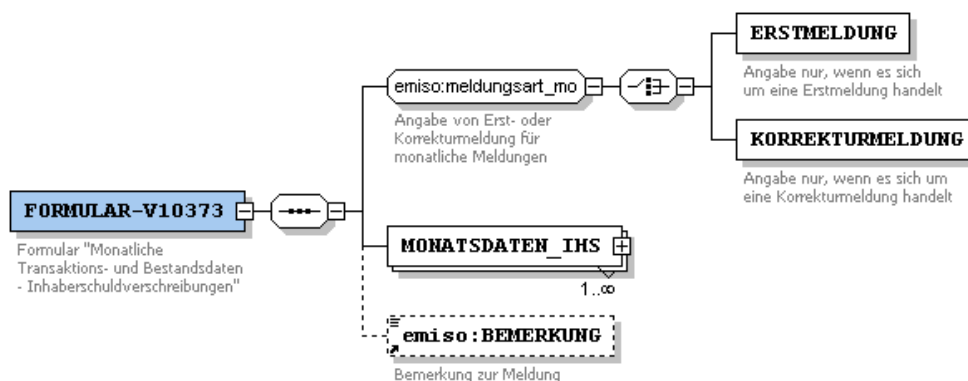


Figure 4-19

##### Sample structure:

```
<FORMULAR-V10373>
  <ERSTMELDUNG/>
  <MONATSDATEN_IHS>
    <!-- Monatsdaten der Inhaberschuldverschreibung ABC -->
  </MONATSDATEN_IHS>
  <MONATSDATEN_IHS>
    <!-- Monatsdaten der Inhaberschuldverschreibung DEF -->
  </MONATSDATEN_IHS>
  <MONATSDATEN_IHS>
    <!-- Monatsdaten der Inhaberschuldverschreibung XYZ -->
  </MONATSDATEN_IHS>
  <BEMERKUNG>Dies ist eine Bemerkung</BEMERKUNG>
</FORMULAR-V10373>
```

**MONATSDATEN\_IHS**

Name	Req	Value range / format	Comment
------	-----	----------------------	---------

**kopf\_mo**

ISIN INTERNE_WPK	or	+	wp_kennung	Security identifier
---------------------	----	---	------------	---------------------

PROZ		+	See below	Information on securities quoted as a percentage
------	--	---	-----------	--

or

STCK		+	See below	Information on securities quoted as a number of units
------	--	---	-----------	---

BEMERKUNG		-	BEMERKUNG	Comments on the security
-----------	--	---	-----------	--------------------------

**PROZ**

Amounts given in currency units

ABSATZ		-	betrag_kurs	Amount, rate and currency of initial sales; repeatable
TILGUNG		-	betrag_kurs	Amount, rate and currency of redemption; repeatable
UMLAUF		+	betrag_kurs_faellig	Amounts outstanding, rate and currency of security at the end of the reporting period
info		-	info_kurs_preis	
EIGENBESTAND		+	betrag_kurs_faellig	Amount, rate and currency of own holdings at the end of the reporting period
info		-	info_kurs_preis	

**STCK**

Volume given as a number of units, price given in currency units

ABSATZ		-	stueck_preis	Initial sales as a number of units, issue price and currency; repeatable
TILGUNG		-	stueck_preis	Redemption as a number of units, redemption price and currency; repeatable
UMLAUF		+	stueck_preis_faellig	Amounts outstanding as a number of units, price and currency at the end of the reporting period
info		-	info_kurs_preis	
EIGENBESTAND		+	stueck_preis_faellig	Own holdings as a number of units, price and currency at the end of the reporting period
info		-	info_kurs_preis	



Structure:

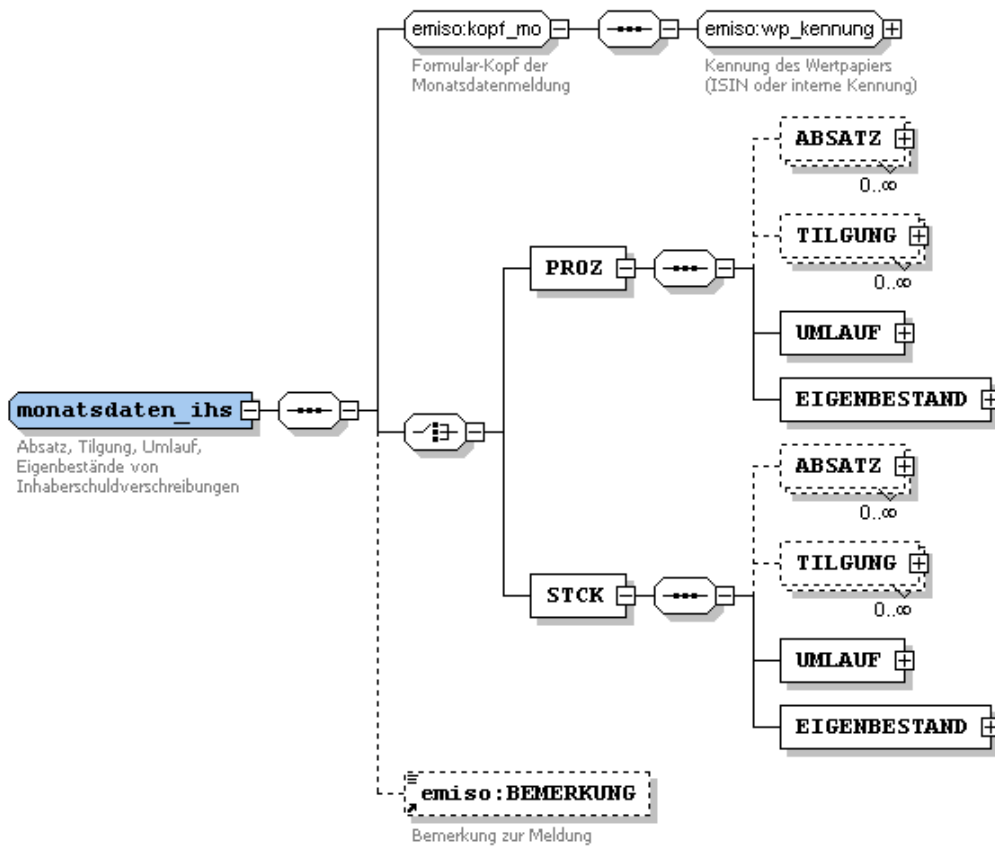


Figure 4-20

Example:

```

<MONATSDATEN_IHS>
  <bbk:ISIN>DE00012345A8</bbk:ISIN>
  <PROZ>
    <ABSATZ>
      <WAEHRUNG>EUR</WAEHRUNG>
      <BETRAG>155000</BETRAG>
      <KURS>100.00</KURS>
    </ABSATZ>
    <ABSATZ>
      <WAEHRUNG>EUR</WAEHRUNG>
      <BETRAG>200000</BETRAG>
      <KURS>99.98875</KURS>
    </ABSATZ>
    <UMLAUF>
      <WAEHRUNG>EUR</WAEHRUNG>
      <BETRAG>25000000</BETRAG>
      <KURS>100.00</KURS>
    </UMLAUF>
    <EIGENBESTAND>
      <WAEHRUNG>EUR</WAEHRUNG>
      <BETRAG>5000000</BETRAG>
      <KURS>100.00</KURS>
    </EIGENBESTAND>
  </PROZ>
</MONATSDATEN_IHS>
    
```

### 4.4.5 FORMULAR-V10374 (Monthly stock and transaction data for registered debt securities)

Every credit institution has to submit a monthly report on registered debt securities issued. The report includes all registered debt securities with stocks as at month-end (amounts outstanding) and all transaction data (gross sales, redemption) for the reporting month.

The “Amounts outstanding” field may not be blank (if necessary, “0” can be entered). As there may be several sales or redemptions in a month for each ISIN, the “Gross sales” and “Redemption” fields can be repeated as often as required.

In the case of a change report for the same reporting month, the entire reporting file must be submitted (all ISINs for the institution; all details for each ISIN). If a change report is submitted for the past, this report can either list all securities or just the security that requires correction (however, all details concerning gross sales, redemption and amounts outstanding are required for each security). The report must indicate whether it is a partial report or a full report.

As many MONATSDATEN\_NP elements as required can be specified for each FORMULAR-V10374 form element.

Name	Req	Value range / format	Comment
	+	See meldungsart_mo	
MONATSDATEN_NP	+	See MONATSDATEN_NP	Gross sales, redemption and amounts outstanding of registered debt securities
BEMERKUNG	-	BEMERKUNG	Comments on the report

**Structure:**

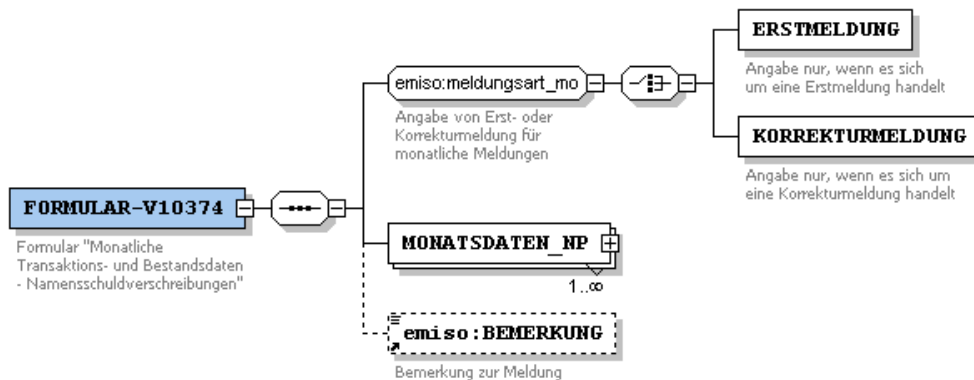


Figure 4-21

**Sample structure:**

```

<FORMULAR-V10374>
  <ERSTMELDUNG/>
  <MONATSDATEN_NP>
    <!-- Monatsdaten der Namensschuldverschreibung ABC -->
  </MONATSDATEN_NP>
  <MONATSDATEN_NP>
    <!-- Monatsdaten der Namensschuldverschreibung DEF -->
  </MONATSDATEN_NP>
  <MONATSDATEN_NP>
    <!-- Monatsdaten der Namensschuldverschreibung XYZ -->
  </MONATSDATEN_NP>
  <BEMERKUNG>Dies ist eine Bemerkung</BEMERKUNG>
</FORMULAR-V10374>
    
```

**MONATSDATEN\_NP**

Name	Req	Value range / format	Comment
------	-----	----------------------	---------

**kopf\_mo**

ISIN INTERNE_WPK	or	+	wp_kennung	Security identifier
---------------------	----	---	------------	---------------------

PROZ		+	See below	Details for securities quoted as a percentage
------	--	---	-----------	---

or

STCK		+	See below	Details for securities quoted as a number of units
------	--	---	-----------	--

BEMERKUNG		-	BEMERKUNG	Comments on the security
-----------	--	---	-----------	--------------------------

**PROZ**

Amounts given in currency units

ABSATZ		-	betrag_kurs	Amount, rate and currency of initial sales; repeatable
TILGUNG		-	betrag_kurs	Amount, rate and currency of redemption; repeatable
UMLAUF		+	betrag_kurs_faellig	Amounts outstanding, rate and currency of security at the end of the reporting period
	info	-	info_kurs_preis	

**STCK**

Volume given as a number of units, price given in currency units

ABSATZ		-	stueck_preis	Initial sales as a number of units, issue price and currency; repeatable
TILGUNG		-	stueck_preis	Redemption as a number of units, redemption price and currency; repeatable
UMLAUF		+	stueck_preis_faellig	Amounts outstanding as a number of units, price and currency at the end of the reporting period
	info	-	info_kurs_preis	

Structure:

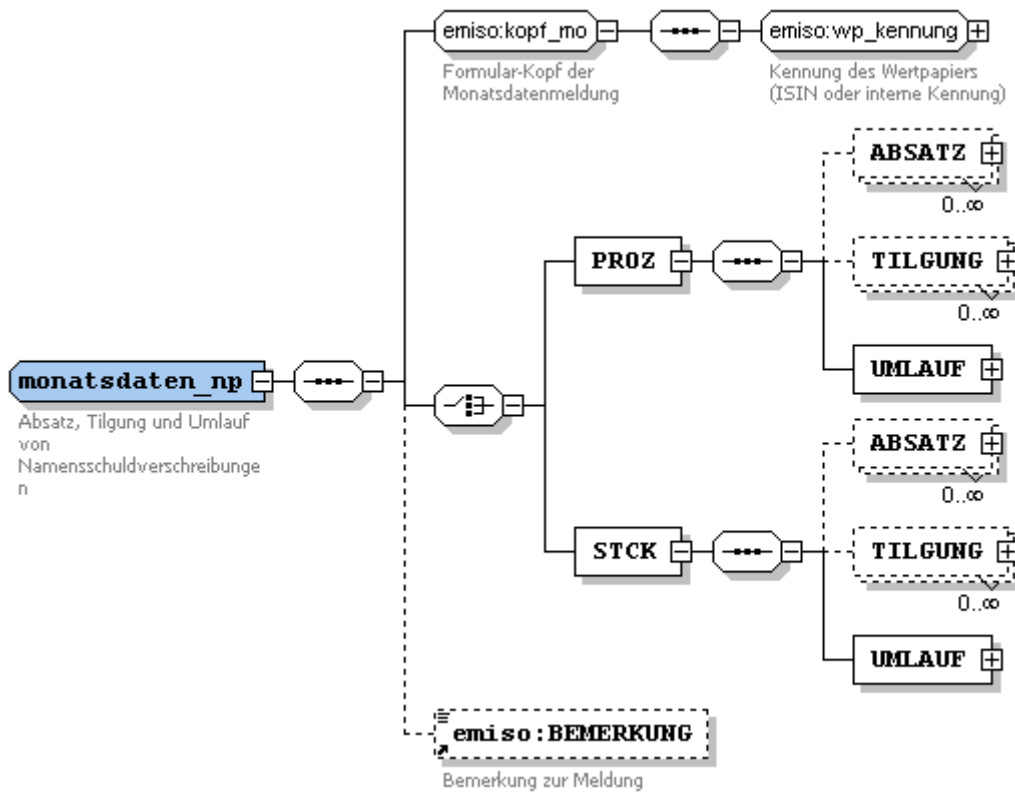


Figure 4-22

Example:

```

<MONATSDATEN_NP>
  <INTERNE_WPK>XF112233</INTERNE_WPK>
  <PROZ>
    <ABSATZ>
      <WAEHRUNG>EUR</WAEHRUNG>
      <BETRAG>15000</BETRAG>
      <KURS>100.00</KURS>
    </ABSATZ>
    <UMLAUF>
      <WAEHRUNG>EUR</WAEHRUNG>
      <BETRAG>25000</BETRAG>
      <KURS>100.00</KURS>
    </UMLAUF>
  </PROZ>
</MONATSDATEN_NP>
    
```

#### 4.4.6 FORMULAR-V10375 (Commercial paper of domestic non-banks)

An aggregated report on commercial paper programmes of domestic non-banks that are issued by the reporting credit institution must be submitted monthly. The report covers both commercial paper denominated in euro and commercial paper denominated in a foreign currency. However, all figures are reported in euro.

Just one `MONATSDATEN_CP` element should be specified for each `FORMULAR-V10375` form element.

Name	Req	Value range / format	Comment
	+	See <code>meldungsart_cp</code>	
<code>MONATSDATEN_CP</code>	+	See <code>MONATSDATEN_CP</code>	Commercial paper report

Structure:

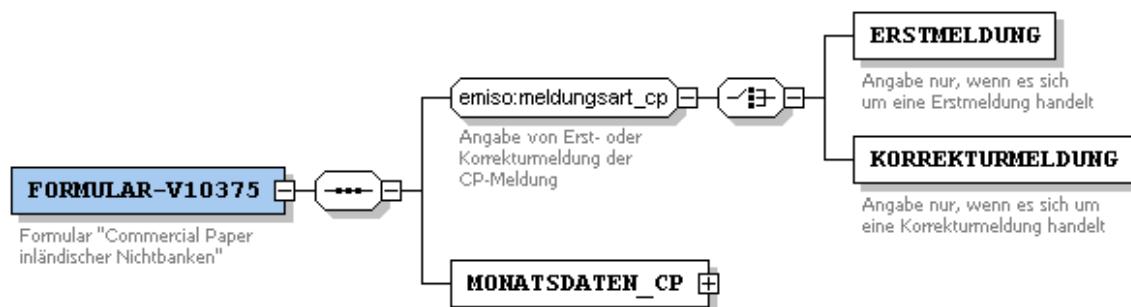


Figure 4-23

Sample structure:

```

<FORMULAR-V10375>
  <ERSTMELDUNG/>
  <MONATSDATEN_CP>
    <!-- Monatsdaten der CP-Meldung -->
  </MONATSDATEN_CP>
</FORMULAR-V10375>

```

**MONATSDATEN\_CP**

Name	Req	Value range / format	Comment
------	-----	----------------------	---------

**kopf\_cp**

KI	+	bbk:alphanum	Name of reporting institution
BLZ	+	Numeric, 8 to 9 digits	Bank sort code
ANSPR_NAME	+	bbk:alphanum	Contact person's name
ANSPR_TEL	+	bbk:telnr	Contact person's telephone number
ANSPR_EMAIL	+	bbk:email	Contact person's e-mail address

CP_EURO	+	See angaben_cp	Gross sales, redemption, amounts outstanding of commercial paper of domestic non-banks denominated in euro as an aggregate report
CP_FREMDW	+	See angaben_cp	Gross sales, redemption, amounts outstanding of commercial paper of domestic non-banks denominated in a foreign currency as an aggregate report

BEMERKUNG	-	bbk:alphanum	Comment
-----------	---	--------------	---------

**angaben\_cp**

Name	Req	Value range / format	Comment
PROGRAMM	+	bbk:double	Overall size of commercial paper programmes
ABSATZ	+	betaeage_cp	Information on gross sales
TILGUNG	+	betaeage_cp	Information on redemption
UMLAUF	+	betaeage_cp	Information on amounts outstanding
UMLAUF_VLZ	+	See below	Information on amounts outstanding, broken down by

**UMLAUF\_VLZ**

Amounts outstanding of commercial paper with an agreed maturity of ...

BIS_1_MONAT	+	bbk:double	... up to and including 1 month
BIS_3_MONATE	+	bbk:double	... over 1 month and up to and including 3 months
BIS_1_JAHR	+	bbk:double	... over 3 months and up to and including 1 year
UEBER_1_JAHR	+	bbk:double	... over 1 year

Structure:

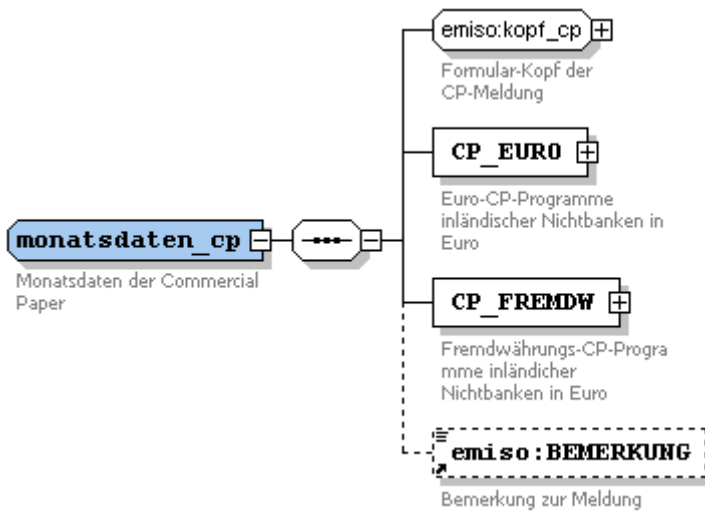


Figure 4-24

Structure of emiso:kopf\_cp

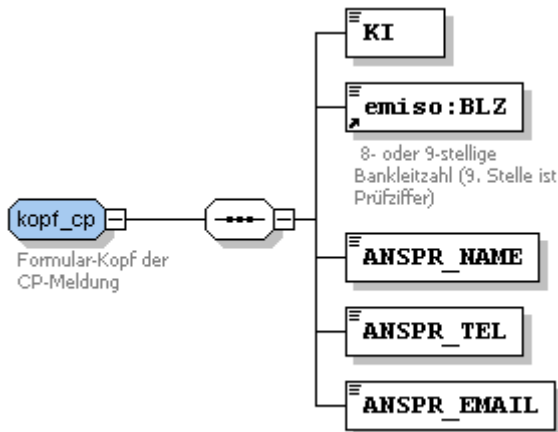


Figure 4-25

Structure of emiso:angaben\_cp

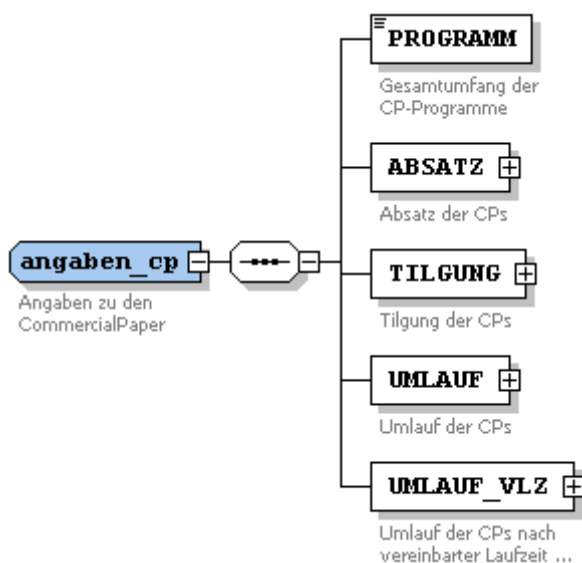


Figure 4-26

Structure of emiso:betraege\_cp

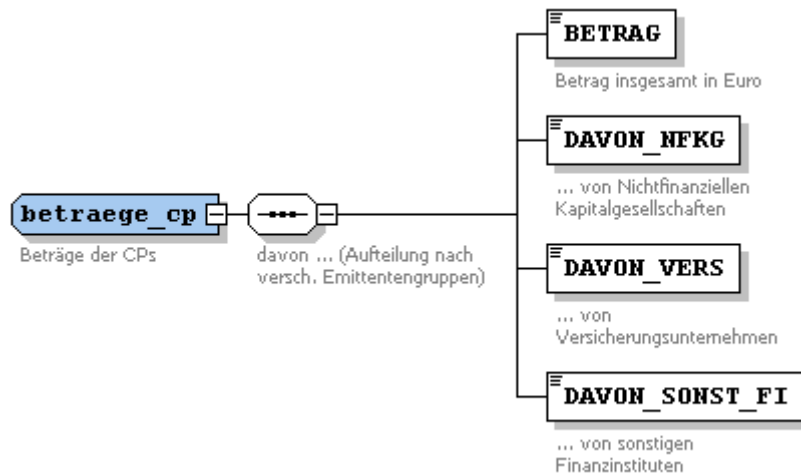


Figure 4-27

Structure of emiso:UMLAUF\_VLZ

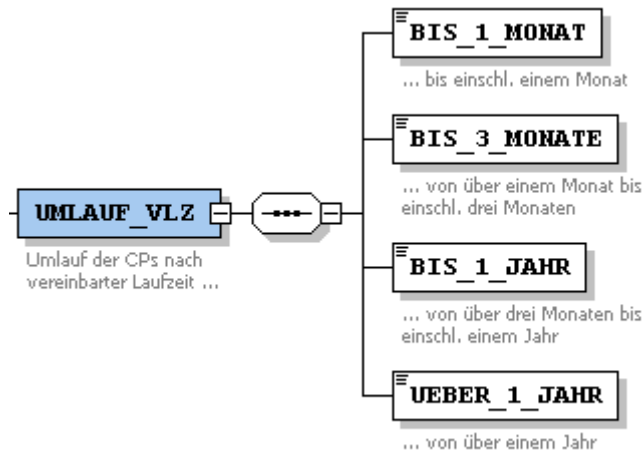


Figure 4-28

Example:

```

<MONATSDATEN_CP>
  <KI>Test Bank</KI>
  <BLZ>12345678</BLZ>
  <ANSPR_NAME>Hans Schmidt</ANSPR_NAME>
  <ANSPR_TEL>000/111-777</ANSPR_TEL>
  <ANSPR_EMAIL>hans.schmidt@testbank.de</ANSPR_EMAIL>
  <CP_EURO>
    <PROGRAMM>125000000</PROGRAMM>
    <ABSATZ>
      <BETRAG>15500000</BETRAG>
      <DAVON_NFKG>8500000</DAVON_NFKG>
      <DAVON_VERS>3000000</DAVON_VERS>
      <DAVON_SONST_FI>4000000</DAVON_SONST_FI>
    </ABSATZ>
    <TILGUNG>
      <BETRAG>9000000</BETRAG>
      <DAVON_NFKG>4500000</DAVON_NFKG>
  </CP_EURO>
  
```



```
<DAVON_VERS>15000000</DAVON_VERS>
<DAVON_SONST_FI>30000000</DAVON_SONST_FI>
</TILGUNG>
<UMLAUF>
  <BETRAG>200000000</BETRAG>
  <DAVON_NFKG>130000000</DAVON_NFKG>
  <DAVON_VERS>20000000</DAVON_VERS>
  <DAVON_SONST_FI>50000000</DAVON_SONST_FI>
</UMLAUF>
<UMLAUF_VLZ>
  <BIS_1_MONAT>100000000</BIS_1_MONAT>
  <BIS_3_MONATE>65000000</BIS_3_MONATE>
  <BIS_1_JAHR>25000000</BIS_1_JAHR>
  <UEBER_1_JAHR>10000000</UEBER_1_JAHR>
</UMLAUF_VLZ>
</CP_EURO>
<CP_FREMDW>
  <PROGRAMM>500000000</PROGRAMM>
  <ABSATZ>
    <BETRAG>40000000</BETRAG>
    <DAVON_NFKG>20000000</DAVON_NFKG>
    <DAVON_VERS>5000000</DAVON_VERS>
    <DAVON_SONST_FI>15000000</DAVON_SONST_FI>
  </ABSATZ>
  <TILGUNG>
    <BETRAG>21000000</BETRAG>
    <DAVON_NFKG>10000000</DAVON_NFKG>
    <DAVON_VERS>2500000</DAVON_VERS>
    <DAVON_SONST_FI>8500000</DAVON_SONST_FI>
  </TILGUNG>
  <UMLAUF>
    <BETRAG>80000000</BETRAG>
    <DAVON_NFKG>45000000</DAVON_NFKG>
    <DAVON_VERS>25000000</DAVON_VERS>
    <DAVON_SONST_FI>10000000</DAVON_SONST_FI>
  </UMLAUF>
  <UMLAUF_VLZ>
    <BIS_1_MONAT>55000000</BIS_1_MONAT>
    <BIS_3_MONATE>15000000</BIS_3_MONATE>
    <BIS_1_JAHR>8000000</BIS_1_JAHR>
    <UEBER_1_JAHR>2000000</UEBER_1_JAHR>
  </UMLAUF_VLZ>
</CP_FREMDW>
</MONATSDATEN_CP>
```

## 5 Appendix

### 5.1 Code list for issuer classification

XML element: EMI\_KLASSIFIZIERUNG

XML schema	Description
	<b>Commercial banks</b>
Großbank	Big banks
Regionalbank	Regional banks and other commercial banks
Zweigstelle ausländischer Bank	Branches of foreign banks
	<b>Savings bank sector institutions</b>
Dekabank	DekaBank Deutsche Girozentrale
Landesbank	Landesbanken
	<i>Savings banks</i>
öffentlich-rechtliche SPK	Public savings banks
freie SPK	Independent savings banks
	<b>Cooperative sector institutions</b>
DZ Bank	DZ Bank AG
Genossenschaftliche Zentralbank	Regional institutions of credit cooperatives
Kreditgenossenschaft	Credit cooperatives
	<b>Mortgage banks</b>
private Hypothekbank	Private mortgage banks
öffentlich-rechtliche Grundkreditanstalt	Public mortgage banks
	<b>Special purpose banks</b>
private Bank mit Sonderaufgaben	Banks with a private legal form performing special functions
öffentliche Bank mit Sonderaufgaben	Banks with a public legal form performing special functions
	<b>Building and loan associations</b>
private Bausparkasse	Private building and loan associations
öffentliche Bausparkasse	Public building and loan associations

### 5.2 Code list for type of security

XML element: WP\_ART

XML schema	Description
	<b>Pfandbriefe</b>
Hypothekpfandbrief	Mortgage Pfandbriefe
Schiffspfandbrief	Ship Pfandbriefe
Flugzeugpfandbrief	Aircraft Pfandbriefe
Öffentlicher Pfandbrief	Public Pfandbriefe
	<b>Money market paper</b>
Commercial Paper	Commercial paper
Certificate of Deposit	Certificates of deposit
sonstiges Geldmarktpapier	Other money market paper

	<b>Structured products</b>
Zertifikat	Certificates
Optionsschein	Warrants
Aktienanleihe	Reverse convertibles
Wandelschuldverschreibung	Convertibles
Optionsanleihe	Bonds with warrants
Credit Linked Note	Credit-linked notes
strukturierte Anleihe	Structured bonds
	<b>Other debt securities</b>
sonstige Schuldverschreibung	Other debt securities, bonds, notes, etc
	<b>Participation certificates</b>
Genuss-Schein	Participation certificates

### 5.3 Code list for type of redemption

XML element: RZ\_ART

XML schema	Description
gesamtfällig	Redemption in full upon maturity (lump sum repayment)
Ratentilgung	Redemption in instalments
Annuitätentilgung	Redemption by annuities
Tilgungswahlrecht	Redemption option
Umtausch	Exchange
Poolfaktor	Pool factor
sonstige	Other redemption

### 5.4 Code list for type of coupon

XML element: ZINSART

XML schema	Description
fest	Fixed interest rate
variabel	Variable interest rate (floater)
inflation	Inflation-linked interest rate
stufe	Step rate
nullkupon	Zero coupon
sonstige	Other coupon (eg for certificates)

### 5.5 Code list for coupon period

XML element: ZINSPERIODE

XML schema	Description
keine	No regular coupon (eg zero coupon)
jährlich	Annual coupon
halbjährlich	Half-yearly coupon
vierteljährlich	Quarterly coupon
monatlich	Monthly coupon

unregelmäßig	Irregular coupon payments
--------------	---------------------------

## 5.6 Code list for reference interest rate

XML element: ZINSREF

XML schema	Description
EONIA	EONIA
EURIBOR - 1 Woche	EURIBOR euro - 1 week
EURIBOR - 2 Wochen	EURIBOR euro - 2 weeks
EURIBOR - 3 Wochen	EURIBOR euro - 3 weeks
EURIBOR - 1 Monat	EURIBOR euro - 1 month
EURIBOR - 2 Monate	EURIBOR euro - 2 months
EURIBOR - 3 Monate	EURIBOR euro - 3 months
EURIBOR - 4 Monate	EURIBOR euro - 4 months
EURIBOR - 5 Monate	EURIBOR euro - 5 months
EURIBOR - 6 Monate	EURIBOR euro - 6 months
EURIBOR - 7 Monate	EURIBOR euro - 7 months
EURIBOR - 8 Monate	EURIBOR euro - 8 months
EURIBOR - 9 Monate	EURIBOR euro - 9 months
EURIBOR - 10 Monate	EURIBOR euro - 10 months
EURIBOR - 11 Monate	EURIBOR euro - 11 months
EURIBOR - 12 Monate	EURIBOR euro - 12 months
LIBOR - overnight	LIBOR euro - overnight
LIBOR - 1 Woche	LIBOR euro - 1 week
LIBOR - 2 Wochen	LIBOR euro - 2 weeks
LIBOR - 1 Monat	LIBOR euro - 1 month
LIBOR - 2 Monate	LIBOR euro - 2 months
LIBOR - 3 Monate	LIBOR euro - 3 months
LIBOR - 4 Monate	LIBOR euro - 4 months
LIBOR - 5 Monate	LIBOR euro - 5 months
LIBOR - 6 Monate	LIBOR euro - 6 months
LIBOR - 7 Monate	LIBOR euro - 7 months
LIBOR - 8 Monate	LIBOR euro - 8 months
LIBOR - 9 Monate	LIBOR euro - 9 months
LIBOR - 10 Monate	LIBOR euro - 10 months
LIBOR - 11 Monate	LIBOR euro - 11 months
LIBOR - 12 Monate	LIBOR euro - 12 months
HVPI	Harmonised Index of Consumer Prices
sonstige	Other reference rate

## 5.7 Code list for type of certificate

XML element: ZERTIFIKAT\_TYP

XML schema	Description
Kapitalschutz	Capital-protected certificate
Discount	Discount certificate

Express	Express certificate
Bonus	Bonus certificate
Index	Index/participation certificate
Outperformance	Outperformance certificate
Sprint	Sprint certificate
Sonstige	Other certificate

## 5.8 Code list for underlying

XML element: BASIS

XML schema	Description
Index	Indices
Aktien	Shares
Fonds	Funds
Renten	Fixed-income bonds
Rohstoffe	Commodities
Währungen	Currencies
Zinssätze	Interest rates
Futures	Futures
Sonstige	Other

## 5.9 Code list for coverage of the security

XML element: DECKUNG

XML schema	Description
Wohnimmobilien	Residential mortgages
Gewerbliche Immobilien	Commercial mortgages
Gemischte Immobilien	Mixed real estate
Schiff	Ships
Flugzeug	Aircraft
Kommunalkredite DE	Loans to public authorities in Germany
Sonstige Kredite DE	Other cover assets in Germany
Forderungen AT	Claims on government entities from Austria
Forderungen BE	Claims on government entities from Belgium
Forderungen CY	Claims on government entities from Cyprus
Forderungen EE	Claims on government entities from Estonia
Forderungen ES	Claims on government entities from Spain
Forderungen FI	Claims on government entities from Finland
Forderungen FR	Claims on government entities from France
Forderungen GR	Claims on government entities from Greece
Forderungen IE	Claims on government entities from Ireland
Forderungen IT	Claims on government entities from Italy
Forderungen LU	Claims on government entities from Luxembourg
Forderungen MT	Claims on government entities from Malta
Forderungen NL	Claims on government entities from the Netherlands
Forderungen PT	Claims on government entities from Portugal

Forderungen SI	Claims on government entities from Slovenia
Forderungen SK	Claims on government entities from Slovakia
Forderungen GB	Claims on government entities from the United Kingdom
Forderungen EU	Claims on government entities from other EU countries
Forderungen CH	Claims on government entities from Switzerland
Forderungen US	Claims on government entities from the United States
Forderungen JP	Claims on government entities from Japan
Forderungen CA	Claims on government entities from Canada
Forderungen übrige	Claims on government entities from other countries

## 5.10 Code list for BISTA classification

XML element: BISTA

<b>XML schema</b>	<b>Description</b>
F1 100/01	Negotiable (not subordinated) bearer debt securities up to and including 1 year
F1 100/02	Negotiable (not subordinated) bearer debt securities over 1 year and up to and including 2 years
F1 100/03	Negotiable (not subordinated) bearer debt securities over 2 years
HV21 242	Securities issued on a fiduciary basis
HV21 280	Subordinated liabilities
HV21 290	Capital represented by participation rights
HV22 219	Registered debt securities (sold to banks)
HV22 229	Registered debt securities (sold to non-banks)