

Information on Electronic Order Processing in the Federal Gazette

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1 Publishing in the Federal Gazette

The following information applies to all disclosures in the Federal Gazette. Further special requirements may apply for publications in the litigation register, criminal cases, shareholders' forum, fund prices as well as invoicing/financial reports. Please note the applicable work aids and information on the Publication platform.

1.1 Registration

Please go to the publication platform's homepage. The "Registration" button will take you to the registration forms.

Next, specify what you would like to register for:

- If you wish to publish your own announcement (applies to companies but to courts, authorities, etc. as well) or wish to submit an annual financial statement to the Federal Gazette, please select "an own".
- If you have been commissioned with data from one or multiple companies that is to be published or submitted (e.g. as a tax consultant, chartered accountant, agency, etc.) or wish to make a publication or submission in the name of the subsidiary company for one or more subsidiary companies, please select "for a third party". This has the advantage of only requiring one-time registration if you wish to process assignments for multiple customers.

Please note: All information that you enter in the following forms relates to your company. You create your customers in a separate customer database (see also: Customer Database for Third Parties).

You can find additional, more detailed information about registration in the "Useful Information" area under "How It Works".

1.2 Layout of the Publication Text

You create the announcement text as usual on the PC, except when sending the data in XML. The important thing is that you only send the pure publication text using the upload process without addenda such as: "Please publish" or "Order" etc. Please make sure that the text contains all the information which you wish to have published online, such as the company header with logo.

1.3 Standard Order Submission

Order Forms

The forms record all order-related information required for quick processing at the Federal Gazette publisher. The order form is composed of individual forms. Only after completing all forms and after receiving the order confirmation with the order number will you have completely sent the order to the Federal Gazette. You can also retrieve and check the state of your order any time online in the "My Data" area under "Orders & Retrievals".

Accepted Electronic File Formats

You may send us MS Word documents starting from Office 2007 (Version 12) as well as RTF documents. Furthermore, files in the XML format are accepted. Close cooperation with the Federal Gazette publisher is required beforehand for data transmission in XML format, since the XML files must be published based on the Federal Gazette-specific DTD. In this case, please contact the publisher. Graphics must be sent separately when sending an XML document.

1.3.1 Order Forms in Detail

Publication Area

Select the area in which your announcement is to appear.

Order Data

Please specify the “Type of Publication” upon placing the order, if the appropriate menu appears. Some areas are not additionally divided into publication types. If the desired publication type is not stated, select the appropriate publication area on the previous page, or contact the publisher for additional information. Entries regarding your publication relate to your company. Please verify the information regarding the name and place of business before submitting the order.

Order Submission

Send your publication to the publisher in this form. File transmission takes place via an upload process or via the entry forms we provide.

Upload Process

Select the file to be published from your local PC for sending and send them to us. You can send us one file per order. The publication file will be shown to you in a list in the form. You can remove the file from the list again using the cross symbol at the end of the row.

Date

The following standard date options are generally available to you.

Select “Within normal processing time” and your publication will appear within the next 5 publication days, beginning on the day after it was sent to the Federal Gazette.

You can specify a fixed publication date using the “Date” option taking into account the above-listed processing deadline of 2 work days. Shortening the 2-day processing time period is only possible in very limited exceptional cases after coordinating with the publisher beforehand.

“As quickly as possible” means that your announcement, if the data is sent at the very latest by 14:00 on the send date, would be published at the very latest on the Federal Gazette publication day after the next one.

Please contact the publisher for coordination if you wish to send very extensive, electronic documents (e.g. MS Word 25 pages or greater).

Invoicing

In this form, your information from registration will be shown to you for invoicing. You can change it directly in the entry forms for the respective order. Invoicing is order-based and takes place after successful publication. If you wish to make changes to your data in general, please use the “My Data” menu (see page 10).

Data Overview/Placing Order

In this form, the whole order will be shown to you in a clear-arranged manner. You must explicitly make a confirmation at the end of the form for a binding order issuing and publication in the Federal Gazette.

Order Confirmation

After issuing the order, you will interactively obtain an order confirmation, which contains your order-related information and which you should print out for your records.

Please make sure to write down your order number, which may be needed for any possible additional processing and/or cancellation of your order.

1.4 Order Submission for an Authorisation Resolution pursuant to § 48 ff. BörsZulV [Stock Exchange Admissions Regulation]

Authorisation resolutions issued by German stock exchanges pursuant to § 48 ff. BörsZulV can still be published on the same day in the “Public Companies” and “Partnership Limited By Shares” area under “Company Announcements” and in the “Securities” area in “Capital Market” when submitting data via this platform.

An entry form is available to you for this purpose in the above-mentioned area under the “Prospect-Free Approval” publication type.

By derogation from our other publication times (see General Terms and Conditions), publication in the Federal Gazette on the same day happens at 14:00 when sending data via this entry form by 13:00 the latest.

This applies on publication days Monday to Friday except legal holidays.

You may cancel the order until 13:00.

1.5 Order Submission for Investment Companies

The following information relates to publications in the following areas:

- Investment fund
- Tax bases

On the homepage <https://publikations-plattform.de>, use the “Login” button to login with the login data that was sent to you along with the registration. “Publish” will take you to the order forms.

The forms record all order-related information required for smooth processing at the Federal Gazette publisher. The order form is composed of individual forms. Only after completing all forms and after receiving the order confirmation with the order number will you have completely sent the order to the Federal Gazette. You can also retrieve and check the state of your order any time online in the “My Data” area under “Orders & Retrievals”.

1.5.1 Fund Database

A fund database is available to you for publications in the “Investment Fund” or “Tax Bases” area. To activate this for the first time, go to the order form in the “Additional Order Data” tab. There you will find the appropriate “Invoke Fund Database” link in the “Databases” service area. Create your first data record using the “Create New Fund” button.

During the next order, you can directly insert the fund created in the fund database into the form using the search function.

The fund database is also available to you under “My Data”.

A publication contract must be concluded if you wish to publish fund prices. Please contact the publisher.

Accepted Electronic File Formats

You may send us MS Word documents starting from Office 2007 (Version 12) as well as RTF documents. Moreover, the MS Excel data format starting from Office 2007 (Version 12) is accepted for publishing the yearly, half-year and liquidation/transfer report.

Furthermore, files in the XML format are accepted for tax bases. Close cooperation with the Federal Gazette publisher is required beforehand for data transmission in XML format, since the XML files must be published based on the Federal Gazette-specific DTD. In this case, please contact the publisher. You can find more information on the publication platform under the “Work Aids & Standards” menu.

1.5.2 Order Forms in Detail

Publication Area

Select the area in which your publication is to appear.

Order Data

Please specify the “Type of Publication” upon placing the order, if the appropriate menu appears. Some areas are not additionally divided into publication types. If the desired publication type is not stated, please contact the publisher for additional information.

Order Submission

Send your publication to the publisher in this form. Data transmission is carried out via an upload process; you are provided with an entry form only for publications in the “Securities Purchase and Takeover Area” (See Securities Purchase and Takeover Area).

Upload Process

Select the file to be published from your local PC for sending and send them to us. You can send us one file per order. The publication file will be shown to you in a list in the form.

In addition to data transmission, fund information will be requested. You can create these beforehand in a fund database (see Fund Database). Please complete the form with the desired information if the publication should involve one or more funds.

Peculiarities in Annual, Half-Year and Liquidation/Transfer/Wind-Up Reports of Investment Trusts: For these three publication types, it is possible to send up to 10 files in the DOCX, XLSX and RTF format altogether per publication due to the publication volume. In so doing, please ensure that there are no duplicate file names.

Please enter a definition regarding the content of the sent file. You will be provided with a picklist in the order form, otherwise you can enter an individual short description using the “Miscellaneous” field.

As soon as the sent file appears in the publication list, many different symbols at the end of the row will appear.

Using the arrows, you can move each file up or down and thereby change the publication order. The cross deletes the desired file from the list.

The important thing is that you specify the binding order of the publication files in the form. You need to explicitly state this in the form. The order is binding for editing in the publisher. Your publication will then be knowingly published accordingly.

For file transmission in XML or PDF format, only one file is allowed, although multiple graphic files can be allocated to it in the case of tax bases. A preview of your publication will be shown to you.

Dates

The following standard date options are available to you in the order form. These depend on the respective publication type and the transmission format.

You can specify a fixed publication date using the “Date” option. When selecting a date, the following listed editing deadlines per publication type must be met. Shortening the aforementioned processing time period is only possible in very limited exceptional cases after coordinating with the publisher beforehand.

Reports

The quickest possible publication of reports for data deliveries in MS Word, MS Excel and RTF format takes place “within the next 13 publication days”.

Tax Bases

The quickest possible publication of tax bases for data deliveries in MS Word, MS Excel or RTF format takes place within the next two publication days if the data is sent by 14:00.

The quickest possible publication on the next publication day will be performed if the data is delivered in XML format by 14:00.

Other Investment Announcements

With the “Within normal processing time” option, your publication will appear within the next 5 publication days, beginning on the day after it was sent to the Federal Gazette. This option is not available to you for reports.

“As quickly as possible” means that your announcement, if the data is sent at the very latest by 14:00 on the send date, would be published at the very latest on the Federal Gazette publication day after the next one. This applies to data delivery of MS Word and RTF documents as well as data in XML format.

“Date after consultation with the publisher”. This formulation is only displayed to you when sending contract terms, since the transmitted data volume here (publication text) varies very strongly, and thus a single regulation could not be established.

Invoicing

In this form, your information from registration will be shown to you for invoicing. You can change it directly in the entry forms for the respective order. Invoicing is order-based and takes place after successful publication.

If you wish to make changes to your data in general, please use the “My Data” menu (see page 10).

Data Overview/Placing Order

In this form, the whole order will be shown to you in a clear-arranged manner. You must explicitly make a confirmation at the end of the form for a binding order issuing and publication in the Federal Gazette.

Order Confirmation

After issuing the order, you will obtain an order confirmation, which contains your order-related information and which you should print out for your records. Please make sure to write down your order number, which may be needed for any possible additional processing and/or cancellation of the order.

1.5.3 Publication Area: Fund Prices

An entry form for immediate publication in the Federal Gazette was developed for electronic order transmission of fund prices. Fund prices can be alternatively sent via Excel upload. You can find more information on the publication platform under “Useful Information – How It Works – Fund Prices”. You can find the precise process for sending fund prices in the “General Work Aid for Publishing Fund Prices in the Federal Gazette and in Fund Data” and “Fund Prices per Excel Interface” work aids.

1.6 Order Submission in “Securities and Takeover” Area

The hereinafter described forms only apply for publications by bidders and target companies in the “Securities and Takeover” area in “Capital Market”.

Order Data

Please specify the “Type of Publication” upon placing the order.

1.6.1 Publication Type “§ 23 WpÜG [German Takeover Act] (Bidder Obligations)”

The content is entered into a form. You will see a display of your publication in advance using the preview. Please check the accuracy of your information and confirm it.

Date

If the order is issued by 18:00, publication takes place on the Federal Gazette’s publication days on the same day, and it takes place on the next publication day if the order is issued later. The order can no longer be changed or cancelled after the order confirmation has been issued.

Invoicing

In this form, your information from registration will be shown to you for invoicing. You can change it directly in the entry form for the respective order.

If you wish to make changes to your data in general, please go to the “My Data” menu (see page 10).

Data Overview/Placing Order

In this form, the whole order will be shown to you in a clear-arranged manner. You must explicitly make a confirmation at the end of the form for a binding order issuing and publication in the Federal Gazette.

1.6.2 “Offer/Offer Documents” and “Opinion” Publication Types

Order Submission

You can either use an entry form and enter the data directly in the appropriate fields or, alternatively, upload your publication as a file in the DOCX or RTF format.

For the “Offer/Offer Documents” publication type, you furthermore have the option of prepending a disclaimer before the order documents, which must be confirmed by the internet user before he can read the offer. In this case, please upload the text for the disclaimer first and a standard read receipt will automatically be added. Select the appropriate content from the menu. Next, upload the offer document as a 2nd file and allocate its content as well.

Date

If the order is issued by 16:30 when using the entry form, publication takes place on the Federal Gazette’s publication days on the same day by 18:00, and it takes place on the next publication day if the order is issued later.

The following standard date options are available to you when using the upload process:

You can specify a fixed publication date using the “Select Date” option.

“Immediately, but at the latest on the next publication day” means that your announcement, if the data is sent at the very latest by 14:00 on the transmission day, would be published in the Federal Gazette at the very latest on the next publication day.

Invoicing

In this form, your information from registration will be shown to you for invoicing. You can change it directly in the entry form for the respective order. If you wish to make changes to your data in general for invoicing purposes, please go to the “My Data” menu.

Data Overview/Placing Order

In this form, the whole order will be shown to you in a clear-arranged manner. You must explicitly make a confirmation at the end of the form for a binding order issuing and publication in the Federal Gazette.

1.6.3 “Miscellaneous” Publication Type

Here you upload only one file as usual; the rest of the process corresponds to the “Opinion” publication type (upload process).

1.7 Ongoing Orders / Publications (Federal Gazette Orders)

You can access your ongoing orders/completed publications via the “Orders & Retrievals” menu under “My Data”. In “Federal Gazette Orders”, you can see order-specific information about ongoing orders and change or cancel orders. For publications which have already been made, a PDF voucher for your order is available in the database. Immediately after receiving the order confirmation, your order is listed in a table and can be searched via the order number. If your order is not displayed, then it has not been entered into the Federal Gazette publisher.

You will be shown the publication date issued by the publisher for your order. Furthermore, you can keep track of your order's in-house production status. Multiple symbols will be shown to you in the last table column under the "Action" column. These will subsequently be explained.

1.7.1 Data Access

Your order information is listed here in an organised manner.

1.7.2 Change Order

You can make changes in your existing order, like correcting the address or the type of publication. To do so, go to the "My Data – Orders & Retrievals – Federal Gazette Orders" menu and click on the "Change" symbol for the appropriate order.

Order changes always correspond to existing orders which have not yet been published. You can overwrite the existing order and its content by changing the order. Only the state of the last change is published. You can review changes to the order under "My Data". The order number remains the same during an order change. It is not possible to create a new order via this method.

Please note: If, in case of an annual financial statement order, the financial year is overwritten, for instance, by an order change, this can lead to a notification being sent to the Federal Office of Justice regarding a failure to make a disclosure for the overwritten financial year, if necessary.

A change in the current order is only possible in the status "Order received" or "Processing". If your order is in any other status, a change via the Publication platform is no longer possible. If you still need to make an urgent change in this case, please contact the publisher. You will find the service number under "We can help you". The prices or fees for a change can be found in our General Terms and Conditions or General Terms of Use.

1.7.3 Cancellation

You can cancel an order in accordance with the General Terms and Conditions. If possible, please contact the publisher beforehand. Maybe we can assist you so that an order cancellation would not be necessary.

If you still wish to cancel, go to the "My Data – Orders & Retrievals – Federal Gazette Orders" menu and click on the "Cancel" symbol for the appropriate order. **Please note that in case of cancellation, no publication will be made for this order.**

If your order is not yet "Published" or "Deposited", you can cancel it. You will then immediately receive a cancellation confirmation for your order. Please note that in the event of a cancellation, no publication or deposit will be made for this order.

If it is no longer possible to cancel via the Publication platform and you need to cancel urgently, please contact the publisher. You will find the service number under "We can help you". The prices or fees for a cancellation can be found in our General Terms and Conditions or General Terms of Use.

This does not apply to on-the-fly publications.

1.7.4 Vouchers

You will be provided with a voucher after a publication has been made online. The voucher is issued according to the order and is at the end of the row. You can view the voucher using the corresponding symbol. You need Adobe Acrobat Reader to view it. You won't receive a voucher with the invoice.

1.7.5 Summary Vouchers

You will receive an annual advance invoice for fund price publications. In the "Summary Vouchers" menu, you will find a list of your funds for which you have published prices. This list will be continuously updated. A PDF voucher as proof of your published prices will be made available to you.

1.8 My Data

You can access your registration data in the "My Data" menu.
In "Master Data", you can change your postal address, the contact person or the password.

Please note that your company data will be assigned to the company entered in the register and can no longer be changed afterwards.

If your company was deleted from the register court, or if you have made a wrong allocation, please re-register. If there is already a publication, and you wish to make changes to your data, then please contact the publisher. Please contact the publisher if you wish to delete your registration data.

Your postal address will be used as a basis under "Invoice Data".
Please enter any differing billing information accordingly under "Other".

1.9 Customer Database for Third Parties

In the "Customer Data" menu, you can create your customers (Clients, subsidiary companies etc.) and manage them. You can access customer data records at any time and edit or erase them.

1.9.1 Create Customer

Please go to the "My Data" tab and, in the "Customer Data" menu using the "New Customer" button, create the company on whose behalf you are publishing.
Fill out the appropriate fields required for publication.
In the "Company Postal Address" form, you also have the option of giving your customers a label, e.g. an internal customer number or brief description.

Please note that the company data of your customer – if the company is headquartered in Germany and the company is registered in the Commercial, Association, Partnership or Cooperatives Register – will be assigned to the company entered in the register and can no longer be changed afterwards.

Your invoice data will be filled with default data during registration. Therefore, after creating the customer, verify the invoice data submitted for the customer by performing the “Change Invoice Data” action in the “Customer Data” overview and correcting the data, if necessary. It is also possible to make a change related to the order.

Using the “Action” column, you can see, change, or delete customer data which you have already entered, or change invoice information.

You can filter the customer database according to certain criteria, such as the company name or customer number. Fill out the corresponding fields and select the “Update” button.

You have the option of exporting all or selected customer data records as an Excel or CSV file and saving it locally on your computer.

1.9.2 Publish for Customers

If you wish to insert a new publication for a customer, go to the publication platform in the “Publish” menu. Click on “Publish Order” there and you will then be shown the customer database. Use “Action” to select the customer for whom you wish to make a publication and you will automatically be taken to the order form.

2 Moreover

2.1 Publication Fees

See General Terms and Conditions / Federal Gazette Prices at www.bundesanzeiger.de.