

99021002001000

Heruntergeladen am 08.06.2025

<https://fimportal.de/services/99021002001000>

Modul	Sachverhalt
Leistungsschlüssel	99021002001000
Leistungsbezeichnung I	
Leistungsbezeichnung II	Stock exchange - apply for admission
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Baustein Leistungen
Freigabestatus Katalog	fachlich freigegeben (gold)
Freigabestatus Bibliothek	fachlich freigegeben (gold)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Stock Exchange Matters (individuell, 021)
Verrichtungskennung	Erteilung (001)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400)
Einheitlicher	

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Ansprechpartner	Nein
Fachlich freigegeben am	11.03.2022
Fachlich freigegeben durch	Federal Ministry of Finance (BMF)
Handlungsgrundlage	https://www.gesetze-im-internet.de/b_rsg_2007/_19.html
Teaser	If a credit or financial services institution wishes to trade directly on a stock exchange, the institution requires admission as a trading participant.
Volltext	<p>In order to participate in trading as trading participants, credit institutions, financial services institutions and financial companies require admission. This is done by the management of the exchange.</p> <p>Each trading participant may have an unlimited number of traders. However, a trading participant must have at least one admitted trader in order to fulfill the participation requirements for trading.</p>
Erforderliche Unterlagen	<ul style="list-style-type: none"> • Proof of personal reliability of the business owner or the person managing the business or authorized to represent the business • Proof of professional competence of the business owner or the person managing the business or authorized to represent the company • Proof of the required equity capital of the business (equity capital is considered to be the paid-in capital and reserves after deduction of withdrawals by the owner or personally liable partners and loans granted to them, as well as any debt overhang in the owner's free assets)
Voraussetzungen	<p>Only those persons may be admitted to participation in exchange trading who, in the case of items that can be traded on the exchange, commercially</p> <ul style="list-style-type: none"> • acquires and sells them for his own account, or • carries out the acquisition and sale in his own name for the account of a third party, or • undertakes the brokerage of contracts for the acquisition and sale of such items

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and the nature and scope of its business operations require a commercially structured business operation.

The admission of a company to participate in stock exchange trading shall be granted if

- the proprietor of the business or the persons entrusted by law, the articles of association or the partnership agreement with the management of the business of the company and authorized to represent it
 - are reliable, and
 - at least one of these persons has the professional qualification required for securities or commodities trading on the Exchange;
- the orderly settlement of the transactions concluded on the stock exchange is ensured;
- the company provides evidence of equity capital of at least EUR 50,000 (except in the case of credit institutions, financial services institutions or companies operating pursuant to Section 53 (1) sentence 1 or Section 53b (1) sentence 1 of the German Banking Act, which are authorized to operate the financial commission business within the meaning of Section 1 (1) sentence 2 no. 4 or to provide a financial service within the meaning of Section 1 (1a) sentence 2 nos. 1 to 4 of the German Banking Act);
- in the case of the company required to provide evidence of equity capital, no facts justify the assumption that it does not have the economic capacity required for proper participation in stock exchange trading, taking into account the evidence of equity capital.

Kosten
Verfahrensablauf

Admission as a trading participant must be applied for in writing.

Bearbeitungsdauer
Frist
weiterführende

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Informationen	
Hinweise	Any person who wishes to trade on the exchanges and must be authorized to trade on the exchange on behalf of a trading participant requires an exchange trader license.
Rechtsbehelf	
Kurztext	<ul style="list-style-type: none"> • Admission to the stock exchange Granting • Companies wishing to trade on the stock exchange must be licensed • Business owner or person conducting business or person authorized to represent must be personally reliable and professionally suitable • responsible: Stock Exchange Management
Ansprechpunkt	
Zuständige Stelle	
Formulare	
Ursprungsportal	