

99142020261000

Anzeige des Inhabers einer bedeutenden Beteiligung an einem Institut i.S.d. KWG über jeden neu bestellten gesetzlichen oder satzungsmäßigen Vertreter oder persönlich haftenden Gesellschafter Entgegennahme

Heruntergeladen am 05.07.2025

<https://fimportal.de/xzufi-services/102799535/B100019>

Modul	Sachverhalt
Leistungsschlüssel	99142020261000
Leistungsbezeichnung I	Anzeige des Inhabers einer bedeutenden Beteiligung an einem Institut i.S.d. KWG über jeden neu bestellten gesetzlichen oder satzungsmäßigen Vertreter oder persönlich haftenden Gesellschafter Entgegennahme
Leistungsbezeichnung II	Report newly appointed legal or statutory representatives and general partners in the course of a significant investment in an institution.
Typisierung	1 - Bund: Regelung und Vollzug

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Quellredaktion	Bund
Freigabestatus Katalog	fachlich freigegeben (gold)
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	
Verrichtungskennung	Entgegennahme (261)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Mitarbeiterbezogene Meldepflichten (2030400)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	01.07.2021
Fachlich freigegeben durch	Federal Ministry of Finance
Handlungsgrundlage	Section 2c (1) sentence 5 KWG https://www.gesetze-im-internet.de/kredwg/_2c.html
Teaser	If you, as the holder of a significant interest in an institution in Germany, appoint a new legal or statutory representative or a new shareholder, you must notify BaFin and the Deutsche Bundesbank immediately.
Volltext	In order to ensure that the Federal Financial Supervisory Authority (BaFin) and the Deutsche Bundesbank are informed at an early stage of any significant change in the ownership structure of credit and other institutions in the financial sector, the supervisory authorities must • about every newly appointed legal or statutory representative or general partner • or any newly appointed legal or statutory representative or general partner without undue delay in writing.

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As the owner of a significant shareholding in an institution in Germany, you must thereby state in your notification the

- the professional suitability and
- reliability

of your legal representatives or personally liable partners for assessment.

This information ("material facts") enables BaFin and the Bundesbank to prevent investment fraud, money laundering and other forms of organised crime. In addition, the procedure serves to protect creditors by ensuring the solvency and viability of the institutions.

- The supervisory authority may prohibit the holder of a significant participation from exercising voting rights and order that the shares may only be disposed of with its consent if the holder, if it is a partnership, also a shareholder or partner or a legal or statutory representative, or, or if it is a legal person, also a legal or statutory representative,
- is not reliable, or for other reasons does not meet the standards required in the interest of sound and prudent management of the institution.
- This may be the case if the person responsible lacks the requisite reliability
- or otherwise fails to meet the standards required for the sound and prudent management of the institution.

Erforderliche Unterlagen

- Documents and declarations of reliability
- Certificates of good conduct

Voraussetzungen

As the holder of a significant interest in an institution in Germany, you intend to appoint a new legal or statutory representative or a new shareholder.

Kosten

There are no costs for you.

Verfahrensablauf

- You can file the complaint informally.
- Create an informal notification letter.
- The form IAZ according to the Annex to the InhKontrollIV must be attached to the notification. To do this, go to the BaFin website and download the

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	form. • Fill out the form and sign it. • Attach the other required documents. • Send everything by post to BaFin.
Bearbeitungsdauer	The processing of the advertisement usually takes between 1 and 6 weeks.
Frist	You must make the notification before appointing a legal or statutory representative or a general partner as well as a general partner.
weiterführende Informationen	https://www.bafin.de/SharedDocs/Veroeffentlichungen/DE/Merkblatt/mb_151123_inhaberkontrolle.html;jsessionid=306BC2BFF49DFB74B5D0F88C85698DF1.2_cid502?nn=9450978#doc7870276bodyText14
Hinweise	
Rechtsbehelf	• Opposition • Objection • Detailed information on how to file an appeal can be found in the decision on your application. • Administrative court action
Kurztext	• Notification by the holder of a significant participation in an institution within the meaning of the KWG of any newly appointed legal or statutory representative or general partner Acceptance • Obligation of holders of a significant participation in an institution in the financial sector to notify changes in management personnel • Evidence of reliability and professional suitability must be provided • Notification in writing by post • responsible: Federal Financial Supervisory Authority (BaFin)
Ansprechpunkt	
Zuständige Stelle	
Formulare	- Forms: yes - Online procedure possible: no - Written form required: yes

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- Personal appearance required: no
https://www.bafin.de/SharedDocs/Downloads/DE/Formular/dl_090320_InhKontrollIV_anlage3_ba_va.html?nn=9450978

Ursprungsportal

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