

99142021261000

Anzeige eines Instituts i.S.d. KWG über die Absicht der Bestellung eines Geschäftsleiters bzw. der Ermächtigung einer Person zur Einzelvertretung des Instituts Entgegennahme

Heruntergeladen am 03.07.2025

<https://fimportal.de/xzufi-services/102799537/B100019>

Modul	Sachverhalt
Leistungsschlüssel	99142021261000
Leistungsbezeichnung I	Anzeige eines Instituts i.S.d. KWG über die Absicht der Bestellung eines Geschäftsleiters bzw. der Ermächtigung einer Person zur Einzelvertretung des Instituts Entgegennahme
Leistungsbezeichnung II	Informing the Deutsche Bundesbank and BaFin of the intention to appoint a manager or to authorise a person to act as sole representative
Typisierung	1 - Bund: Regelung und Vollzug
Quellredaktion	Bund
Freigabestatus Katalog	fachlich freigegeben (gold)

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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	08.09.2021
Fachlich freigegeben durch	Federal Ministry of Finance
Handlungsgrundlage	https://www.gesetze-im-internet.de/kredwg/_24.html https://www.gesetze-im-internet.de/anzv_2006/_1.htm https://www.gesetze-im-internet.de/anzv_2006/_5.htm https://www.gesetze-im-internet.de/anzv_2006/_5a.htm https://www.gesetze-im-internet.de/anzv_2006/_5b.htm
Teaser	If you, as a bank or financial services company, intend to appoint a person to the management or to authorise a person to represent your institution on an individual basis, you must inform the Deutsche Bundesbank and BaFin.
Volltext	In your information you must state all facts that are relevant for the assessment of • reliability, • the professional suitability • and sufficient time availability for the performance of the respective tasks of the person

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of the person concerned.

If new facts have emerged which have a significant impact on an original assessment of good repute, professional competence and sufficient availability in terms of time, you must also communicate them.

Erforderliche Unterlagen

- Form "Information on reliability, time availability and further mandates".
- Meaningful curriculum vitae of the persons named. This must be complete, truthful and without gaps and contain the following information: the surname, all first names and the name at birth, date of birth, place of birth, place of residence, nationality, a detailed statement of professional qualifications., the names of all the undertakings for which that person works or has worked, and details of the nature and duration of the activities in question, including secondary activities.

The curriculum vitae must focus on the stages of the professional life. For each stage, not only the year but also the month of the beginning and end of the activity must be indicated.

- certificates of employment for dependent activities performed in the 3 years preceding the filing of the complaint.
- Statement by the persons concerned as to whether, to their knowledge, criminal proceedings are being conducted or have been conducted against them for a felony or misdemeanour, administrative offence proceedings or comparable proceedings are being conducted against them in connection with a business or other professional activity or have been concluded with a fine or other sanction, a supervisory authority has initiated or conducted against them a background check or suitability test under trade law or a supervisory procedure for the issuance of measures, a public authority has refused, suspended, withdrawn, revoked or cancelled an authorisation, membership or entry in the register in respect of him or one of the companies or trades he manages, or has otherwise prohibited him from exercising a profession, operating a trade or representing or managing the business, or proceedings are being conducted in this respect, or it

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	or a company managed by it is or was involved as a debtor in insolvency proceedings, proceedings for the submission of an affidavit or comparable proceedings.
Voraussetzungen	
Kosten	You do not have to pay anything for the message.
Verfahrensablauf	You would like to inform BaFin about the intention to appoint a person for the management and the intention to authorise a person to represent the institution individually: • Go to the BaFin website. • There, download the form "Information on reliability, time availability and further mandates KWG". • Fill out the form completely and truthfully. • You can complete the form directly on your PC and then print it out. • Send the completed form with all required documents by post to BaFin.
Bearbeitungsdauer	different, case-dependent
Frist	You must file the complaint immediately.
weiterführende Informationen	https://www.bafin.de/SharedDocs/Veroeffentlichungen/DE/Merkblatt/mb_geschaeftsleiter_KWG_ZAG_KAGB.html
Hinweise	
Rechtsbehelf	There is no provision for appeal.
Kurztext	• Notification by an institution within the meaning of the KWG of the intention to appoint a managing director or to authorise a person to represent the institution on an individual basis Acceptance • Costs: none • Processing time: varies, depends on the case • Responsible: Federal Financial Supervisory Authority (BaFin) and Deutsche Bundesbank
Ansprechpunkt	
Zuständige Stelle	

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Formulare	Forms: yes Online procedure possible: no Written form required: yes Personal appearance required: no https://www.bafin.de/SharedDocs/Downloads/DE/Formular/dl_fo_angaben_zuverlaessigkeit_verfuegbarkeit_weitere_Mandate_LSI_KWG.html
Ursprungsportal	Anzeige eines Instituts i.S.d. KWG über die Absicht der Bestellung eines Geschäftsleiters bzw. der Ermächtigung einer Person zur Einzelvertretung des Instituts Entgegennahme, Anzeige eines Instituts i.S.d. KWG über die Absicht der Bestellung eines Geschäftsleiters bzw. der Ermächtigung einer Person zur Einzelvertretung des Instituts Entgegennahme