99142023261000

Anzeige eines Instituts i.S.d. KWG über das Entstehen, die Veränderungen in der Höhe oder die Beendigung einer bedeutenden Beteiligung an anderen Unternehmen Entgegennahme

Modul	Sachverhalt
Leistungsschlüssel	99142023261000
Leistungsbezeichnung I	Anzeige eines Instituts i.S.d. KWG über das Entstehen, die Veränderungen in der Höhe oder die Beendigung einer bedeutenden Beteiligung an anderen Unternehmen Entgegennahme
Leistungsbezeichnung II	Informing the Deutsche Bundesbank and BaFin about new, changed or terminated corporate holdings of banks and financial services institutions
Typisierung	1 - Bund: Regelung und Vollzug
Quellredaktion	Bund
Freigabestatus Katalog	fachlich freigegeben (gold)

Modul	Sachverhalt
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	
Verrichtungskennung	Entgegennahme (261)
SDG-Informationsbereich	
Lagen Portalverbund	Mitarbeiterbezogene Meldepflichten (2030400)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	03.08.2021
Fachlich freigegen 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 l https://www.gesetze-im-internet.de/anzv_2006/__7.htm l
Teaser	If you as a bank or financial services institution acquire shareholdings in other companies, you must inform the Deutsche Bundesbank and the Federal Financial Supervisory Authority (BaFin). The same applies if your shareholdings in companies change.
Volltext	Just like other companies, you as a bank or financial services institution can acquire and sell equity interests in companies. In this way, you obtain, for example, voting rights or the right to share in profits. As soon as you, as a bank or financial services institution, acquire a significant shareholding in another company, you must inform the Deutsche Bundesbank. A significant shareholding is deemed to exist if you hold 10 per cent of the capital or voting rights or can exercise a significant influence on the management of this company. Information on the calculation and assessment of a significant shareholding can be found on the BaFin website. You must also report any changes to this significant shareholding. In this

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	so-called active participation notification, you must state, among other things: • Reason for the notification: creation, change, termination • Type of company in which you hold shares • details of the percentage of your shareholding in the total nominal capital of the company (shareholding quota). The Deutsche Bundesbank will then forward your notification of shareholding to the Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin).
Erforderliche Unterlagen	• in the case of complex shareholding structures: fully completed form "Annex for complex shareholding structures
Voraussetzungen	You must report shareholdings in other companies if • Your credit institution or financial services institution Holdings in other companies acquires increased or decreased or terminates • the holding or holdings are "significant holdings" within the meaning of the German Banking Act, i.e. your institution holds directly or indirectly holds at least 10 percent of the capital or voting rights of an enterprise, or otherwise enables you to exercise significant influence over the management of that enterprise. You must report changes in company shareholdings if • the institution's shareholding reaches, exceeds or falls below certain thresholds. These thresholds are staggered: 20 percent of the capital or voting rights of the company, 30 per cent of the capital or voting rights of the company, or 50 per cent of the capital or voting rights of the undertaking, • the entity in which the institution holds shares becomes or ceases to be a subsidiary, • the shares held in the undertaking are no longer or are no longer intended to be used for the institution's own business operations, • shares held directly are transferred, in whole or in

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	part, to a subsidiary undertaking • in the case of shares held indirectly in whole or in part the number or identity of the intermediary undertakings is changed, or the shares are now wholly or partly held by the institution itself, or redistributed among the parties involved.
Kosten	You do not have to pay anything for the participation notice.
Verfahrensablauf	To inform the Deutsche Bundesbank about the status of your company holdings, you can use the Deutsche Bundesbank's e-business platform "ExtraNet". Alternatively, you can submit your participation notification in paper form, for example if you do not know the Bundesbank identification number of your company. Submit your participation notification via the Bundesbank's "ExtraNet" platform: • Call up the Deutsche Bundesbank's "ExtraNet" platform on the Internet. You may still need to register and create a user account first. In order to be able to submit your participation notification in paperless form, you must first submit a one-off declaration on paperless submission (submission declaration) to the relevant Deutsche Bundesbank head office, in which you acknowledge the notifications submitted in paperless form as binding. • Navigate to the following forms: Form "Active participation notification in the case of complex equity holding structures, additionally: form "Annex for complex equity holding structures • Fill in the forms completely and truthfully. In doing so, take note of the Deutsche Bundesbank's information sheet on the electronic submission of notifications of shareholdings. • Upload all the required documents. Then submit your notification of participation electronically. • If your credit institution belongs to a cooperative auditing association or is audited by the auditing body of a savings bank and giro association and their notifications of participation are submitted electronically: In addition, submit 1 copy of each

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	participation notification to the auditing association or federation. • The Deutsche Bundesbank will check your details and forward your participation notification to BaFin. • The European Central Bank, BaFin or the Deutsche Bundesbank may request further information from you, in particular on the acquisition price and the proceeds from the sale. Submit notification of participation in paper form: • Go to the Bundesbank's website. Download the following documents there: Form "Active participation notification" in the case of complex participation structures: "Annex for complex participation structures" form • Fill out the forms completely and truthfully. You can complete the forms directly on your PC and then print them out. • Send the completed form together with all the required documents by post to the Deutsche Bundesbank's relevant head office. • The Deutsche Bundesbank will check your details and forward your investment notification to BaFin. • The European Central Bank, BaFin or the Deutsche Bundesbank may request further information from you, in particular regarding the acquisition price and the proceeds of the sale.
Bearbeitungsdauer	The processing time varies or depends on the case.
Frist	They must submit each individual notification without delay after the acquisition, increase, reduction or abandonment of the holding.
weiterführende Informationen	https://www.bundesbank.de/de/service/extranet https://www.bundesbank.de/resource/blob/611980/506b5693b46665ebd2865a2b3777a426/mL/informationsblatt-bakis-b-2013-data.pdf https://www.bundesbank.de/resource/blob/611688/ecfa42825da5f60ff24bba44f616842e/mL/extranet-postfach-dateinamenskonventionen-data.pdf https://www.bundesbank.de/de/aufgaben/bankenaufsicht https://www.bundesbank.de/resource/blob/613682/ffb

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	70a8d1f5658e7593ff8a38b721f82/mL/rs-merkblatt-data.pdf https://www.bafin.de/SharedDocs/Downloads/DE/FAQ/dl_faq_zur_AnzV.pdf?__blob=publicationFile&v=1
Hinweise	
Rechtsbehelf	There is no provision for appeal.
Kurztext	• Notification by an institution within the meaning of the German Banking Act (KWG) of the emergence, changes in the amount or termination of a significant participation in other companies Receipt • Banks or financial services institutions acquiring significant holdings in other companies must inform the Deutsche Bundesbank and BaFin by means of an active participation notification • also applies in the event of changes in shareholdings, insofar as certain thresholds are affected, or in the event of the termination of a significant shareholding in a company. • Active notification of shareholdings can be submitted electronically via the Bundesbank's "ExtraNet" platform or in paper form. • Deadlines: active notification of participation must be submitted without delay • Costs: none • Processing time: varies/case-dependent • Responsible: Federal Financial Supervisory Authority (BaFin) and Deutsche Bundesbank
Ansprechpunkt	
Zuständige Stelle	
Formulare	Forms: yes Online procedure possible: yes Written form required: no Personal appearance required: no https://extranet.bundesbank.de/ https://www.bundesbank.de/resource/blob/613324/401aefae5679e50377816a14f9564f35/mL/ab-data.pdf https://www.bundesbank.de/resource/blob/613624/f6

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	1b0527d228768fb80a1b862ab0f8d9/mL/kb-data.pdf https://www.bundesbank.de/resource/blob/611756/6e1fc0f768e9786a7bc38edf778c604a/mL/erklaerung-zur-papierlosen-einreichung-von-meldungen-data.pdf
Ursprungsportal	Anzeige eines Instituts i.S.d. KWG über das Entstehen, die Veränderungen in der Höhe oder die Beendigung einer bedeutenden Beteiligung an anderen Unternehmen Entgegennahme, Anzeige eines Instituts i.S.d. KWG über das Entstehen, die Veränderungen in der Höhe oder die Beendigung einer bedeutenden Beteiligung an anderen Unternehmen Entgegennahme