

99142024261000

Anzeige eines Instituts i.S.d. KWG über die Bestellung eines Mitglieds und stellvertretender Mitglieder des Verwaltungs- oder Aufsichtsorgans Entgegennahme

Heruntergeladen am 03.07.2025

<https://fimportal.de/xzufi-services/102799553/B100019>

Modul	Sachverhalt
Leistungsschlüssel	99142024261000
Leistungsbezeichnung I	Anzeige eines Instituts i.S.d. KWG über die Bestellung eines Mitglieds und stellvertretender Mitglieder des Verwaltungs- oder Aufsichtsorgans Entgegennahme
Leistungsbezeichnung II	Informing the Deutsche Bundesbank and BaFin of the appointment of a member and deputy members of the administrative or supervisory body
Typisierung	1 - Bund: Regelung und Vollzug
Quellredaktion	Bund
Freigabestatus Katalog	fachlich freigegeben (gold)
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	

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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	11.12.2023
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 https://www.gesetze-im-internet.de/anzv_2006/__5c.htm https://www.gesetze-im-internet.de/anzv_2006/__5d.htm
Teaser	If you, as a bank or financial services company, intend to appoint a member or deputy member of the administrative or supervisory body, 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, • expertise • and sufficient time to perform the relevant tasks of the person concerned.

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	of the person concerned. If new facts have arisen which have a significant impact on an original assessment of good repute, professional competence and sufficient time availability, you must also provide these.
Erforderliche Unterlagen	• Form "Information on reliability, time availability and further mandates". • curriculum vitae without gaps It must contain the following information: Name, all first names and maiden name, date and place of birth, 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 applicant's professional life. For each stage, not only the year but also the month of the beginning and end of a job must be indicated.
Voraussetzungen	The appointment of members and deputy members of the administrative and supervisory bodies must be notified to the Deutsche Bundesbank or BaFin, stating the following information: • Facts that are relevant to the assessment of the Reliability expertise sufficient time availability for the performance of the duties are necessary. • New facts affecting the original assessment of the Reliability Expertise sufficient time availability have a significant effect. You must report these facts immediately after you learn about them.
Kosten	You do not have to pay anything for the information.
Verfahrensablauf	You would like to inform BaFin about the appointment of a member and deputy members of the administrative or supervisory body:

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- Go to the BaFin website.
- Download the form "Information on reliability, time availability and other mandates KWG" there.
- Fill out the form completely and truthfully.
- The curriculum vitae of the persons concerned must be signed and dated by them in their own hand.
- If your credit institution belongs to a cooperative auditing association or is audited by the auditing body of a savings banks and giro association and their notifications of participation are submitted electronically: Please submit your notification through the auditing association or savings banks and giro association.
- Otherwise, send the completed form with all required documents directly to BaFin by post.

Bearbeitungsdauer

2 - 16 Woche(n)
different, case-dependent

Frist

You must file the complaint immediately.

weiterführende Informationen

<https://www.bafin.de/ref/19610174>
<https://www.bafin.de/ref/19640664>
<https://www.bafin.de/ref/19596702>
<https://www.bafin.de/ref/19596592>
<https://www.bafin.de/ref/19602738>
<https://www.bafin.de/ref/19597576>

Hinweise
Rechtsbehelf

There is no provision for appeal.

Kurztext

- Notification by an institution within the meaning of the KWG of the appointment of a member and deputy members of the administrative or supervisory body
- Banks or financial services companies wishing to appoint a member and deputy members to an administrative or supervisory body must inform the Deutsche Bundesbank and BaFin of the following
- The changes in personnel must be notified to the Deutsche Bundesbank and BaFin using a form.
- Costs: none
- Processing time: varies, depending on the case
- Responsible: Federal Financial Supervisory Authority (BaFin) and Deutsche Bundesbank

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Ansprechpunkt	
Zuständige Stelle	
Formulare	Forms: yes Online procedure possible: no Written form required: yes Personal appearance required: no
Ursprungsportal	Anzeige eines Instituts i.S.d. KWG über die Bestellung eines Mitglieds und stellvertretender Mitglieder des Verwaltungs- oder Aufsichtsorgans Entgegennahme, Anzeige eines Instituts i.S.d. KWG über die Bestellung eines Mitglieds und stellvertretender Mitglieder des Verwaltungs- oder Aufsichtsorgans Entgegennahme