

99142039006000

Änderungsgenehmigung von offenen Publikumsinvestmentvermögen und geschlossenen inländischen Publikums-AIF einschließlich Teilinvestmentvermögen und Teilgesellschaftsvermögen Genehmigung

Heruntergeladen am 01.07.2025

<https://fimportal.de/xzufi-services/102806744/B100019>

Modul	Sachverhalt
Leistungsschlüssel	99142039006000
Leistungsbezeichnung I	Änderungsgenehmigung von offenen Publikumsinvestmentvermögen und geschlossenen inländischen Publikums-AIF einschließlich Teilinvestmentvermögen und Teilgesellschaftsvermögen Genehmigung
Leistungsbezeichnung II	Having changes to the investment conditions of investment funds approved

Modul	Sachverhalt
Typisierung	1 - Bund: Regelung und Vollzug
Quellredaktion	Bund
Freigabestatus Katalog	fachlich freigegeben (gold)
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	
Verrichtungskennung	Genehmigung (6)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	28.11.2023
Fachlich freigegen durch	Federal Ministry of Finance
Handlungsgrundlage	§ 96 II, § 117 V, § 163 KAGB https://www.gesetze-im-internet.de/kagb/__96.html https://www.gesetze-im-internet.de/kagb/__117.html https://www.gesetze-im-internet.de/kagb/__162.html
Teaser	If you, as a capital management company, amend the investment conditions of your investment fund, you must have the amended investment conditions approved by the German Federal Financial Supervisory Authority (BaFin).
Volltext	According to the legal definition, an investment fund is an undertaking for collective investment that collects capital from a number of investors in order to invest it according to a fixed investment strategy for the benefit of these investors. Operationally active companies outside the financial sector are not considered investment funds.

Modul

Sachverhalt

As a capital management company (KVG), investment stock corporation or open-ended investment limited partnership, you must have amended investment conditions approved by the German Federal Financial Supervisory Authority (BaFin).

The investment conditions regulate, among other things

- the relationship between you as the asset management company and the investors
- the name and registered office of your asset management company
- the principles according to which assets are selected and acquired
- the ownership structure of investment funds
- which conditions apply to the redemption and conversion of units or shares
- whether income from the investment fund is distributed or reinvested
- the principles according to which sub-investment assets are formed
- whether and which costs must be paid by investors, e.g. issue premiums, management fees, redemption fees

You may only attach the amended investment conditions to your sales prospectus once they have been approved by BaFin. In addition, you must make the amendments available to the public on your website in the version applicable at the time.

Erforderliche Unterlagen

- Copy of the investment conditions
- Copy of the articles of association
- Copy of the articles of association, if applicable

Voraussetzungen

You can only apply for authorization if your management company

- is a capital management company that is authorized to manage the type of investment fund concerned or
- is a European Union (EU) - Undertakings for Collective Investment in Transferable Securities (UCITS) -

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	management company that has been authorized by the competent authorities of its home member state to manage UCITS investment funds that it intends to manage in Germany.
Kosten	Verwaltungsgebühr: 514€ Fee is charged per offense.
Verfahrensablauf	You can apply for approval for changes to the investment conditions of an investment fund online: • Create an informal cover letter in which you apply for approval of the amendment. • Send the application, including the amended investment conditions, to BaFin via the MVP portal. • After receiving your documents, BaFin will check whether your information is complete and may request further documents from you. Furthermore, BaFin may request changes to the submitted investment conditions if they do not meet the legal requirements. • If you wish to receive confirmation of receipt from BaFin, you must apply for this separately. • You will receive notification of your application. • You will also receive a fee notice. Pay the fees.
Bearbeitungsdauer	BaFin has 4 weeks to issue the change approval. If the requirements for approval are not met, BaFin will inform you of the reasons within 4 weeks and request missing or amended information or documents. If BaFin does not meet both deadlines, the approval is automatically deemed to have been granted.
Frist	You do not have to observe any deadlines.
weiterführende Informationen	
Hinweise	
Rechtsbehelf	• In the event of a rejection of the investment conditions by BaFin: Objection. Detailed information on how to lodge an objection can be found in your notification. • In the absence of a remedy: administrative court action

Modul	Sachverhalt
Kurztext	• Approval of amendments to open-ended retail investment funds and closed-ended domestic retail AIFs including sub-investment funds and sub-funds - Approval • Capital management companies that change the investment conditions of an investment fund must have the change approved • Processing time: 4 weeks • Deadlines for applicants: None • Costs: EUR 514.00 • Responsible: Federal Financial Supervisory Authority (BaFin)
Ansprechpunkt	
Zuständige Stelle	
Formulare	Forms: no Online procedure possible: no Written form required: yes Personal appearance required: no
Ursprungsportal	Änderungsgenehmigung von offenen Publikumsinvestmentvermögen und geschlossenen inländischen Publikums-AIF einschließlich Teilinvestmentvermögen und Teilgesellschaftsvermögen Genehmigung, Änderungsgenehmigung von offenen Publikumsinvestmentvermögen und geschlossenen inländischen Publikums-AIF einschließlich Teilinvestmentvermögen und Teilgesellschaftsvermögen Genehmigung