

99142053261000

Meldung von Verstößen an die BaFin-Hinweisgeberstelle Entgegennahme

Heruntergeladen am 06.06.2025

<https://fimportal.de/xzufi-services/102806773/B100019>

Modul	Sachverhalt
Leistungsschlüssel	99142053261000
Leistungsbezeichnung I	Meldung von Verstößen an die BaFin-Hinweisgeberstelle Entgegennahme
Leistungsbezeichnung II	Reporting violations in the financial services sector
Typisierung	1 - Bund: Regelung und Vollzug
Quellredaktion	Bund
Freigabestatus Katalog	fachlich freigegeben (silber)
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	
Verrichtungskennung	Entgegennahme (261)
SDG-Informationsbereich	Besitz eines Bankkontos in einem anderen Mitgliedstaat

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Lagen Portalverbund	Beschwerden und Petitionen (2140200)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	11.12.2024
Fachlich freigegeben durch	Federal Ministry of Finance (BMF)
Handlungsgrundlage	https://www.gesetze-im-internet.de/hinschg/_21.html https://www.gesetze-im-internet.de/findag/_4d.html https://www.gesetze-im-internet.de/marverstmeldv/BJNR157200016.html
Teaser	If you have information about violations in the financial services sector, you can contact the whistleblower office of the Federal Financial Supervisory Authority (BaFin) anonymously.
Volltext	The whistleblower office of the Federal Financial Supervisory Authority (BaFin) accepts information on actual or potential violations of supervisory regulations. If you have information about violations, you can contact BaFin's whistleblowing office confidentially or report them anonymously via the electronic whistleblowing system. This is also known as "whistleblowing". It concerns violations in the areas that BaFin supervises. In addition to banks, financial service providers, payment and e-money institutions, BaFin also supervises private insurance companies and pension funds. It is also responsible for the supervision of capital management companies and securities trading. BaFin ensures that the companies it supervises comply with the applicable requirements for the prevention of money laundering and terrorist financing. BaFin asks for your understanding that the feedback and the notification of results can only contain information that is compatible with BaFin's confidentiality or non-disclosure obligations. BaFin is also unable to assist you in enforcing any individual

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	claims. This is the responsibility of the civil courts. The civil courts will also decide on any claims between your employer and you for compensation for losses incurred as a result of the report to BaFin. Contact a law firm of your choice or another body authorized to provide legal advice if you are seeking legal protection due to discrimination.
Erforderliche Unterlagen	You do not have to submit any documents. If you have documents that provide evidence, you can submit them.
Voraussetzungen	You want to report information about violations in the financial services sector and be protected as a whistleblower.
Kosten	There are no costs.
Verfahrensablauf	You can report specific information to the Whistleblower Office of the Federal Financial Supervisory Authority (BaFin) via the following communication channels: • Electronic whistleblower system • by post • online form • by telephone • in person. BaFin's whistleblower office will process your case confidentially in all cases. Electronic whistleblower system: • Open the BaFin whistleblower system. • Click on "Submit report" or log in by clicking on "Login" if you have already set up an electronic mailbox. • Follow the steps in the reporting form displayed. If you wish to remain anonymous: • Do not enter any personal data, for example your name. Also do not enter any data that could be used to

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identify you, for example your relationship with the parties involved.

- Pay attention to the secure Internet connection, indicated by the lock symbol next to the address bar.
- If possible, go directly to the server by setting a bookmark from the introductory page and using it.
- If possible, do not use a technical device such as a computer, laptop or cell phone provided by your employer. An intranet connection in particular can jeopardize your anonymity.
- Submit the form online.
- BaFin will check your notification.

By post:

- Describe the violations in an informal letter.
- Send the letter to BaFin's whistleblower office.
- BaFin will check your report.

By online form:

- Follow the steps in the online form. If you wish to remain anonymous:
 - Do not enter any personal data, for example your name. Also do not enter any data that could be used to identify you personally, for example your relationship with the parties involved.
 - Pay attention to the secure Internet connection, indicated by the lock symbol next to the address bar.
 - If possible, go directly to the server by setting a bookmark from the introductory page and using it.
 - If possible, do not use a technical device such as a computer, laptop or cell phone provided by your employer. An intranet connection in particular can jeopardize your anonymity.
- Submit the form online.
- BaFin will check your notification.

By telephone:

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- Dial the number of BaFin's whistleblower office.
- Describe your concern.
- BaFin will check your report.

In person:

- Arrange an appointment by telephone.
- Visit the BaFin whistleblowing office in Bonn and describe the violations in person.
- BaFin will examine your report.

Bearbeitungsdauer

3 - 6 Monat(e)

As a rule, BaFin will provide you with feedback on the processing status within 3 months, in particularly extensive cases within 6 months, and will inform you of the result after completion of the procedure, insofar as this is compatible with statutory confidentiality obligations.

7 Tag(e)

You will receive a confirmation of receipt from BaFin within 7 days.

Frist

There is no deadline.

weiterführende Informationen

<https://www.bafin.de/ref/19641672>

Hinweise
Rechtsbehelf

- Action before the administrative court

Kurztext

- Information on violations in the financial services sector can be submitted anonymously to the whistleblower office of the Federal Financial Supervisory Authority (BaFin)
 - Reports can be submitted via the electronic whistleblower system, by post, online form, telephone or in person

Ansprechpunkt
Zuständige Stelle
Formulare

Modul	Sachverhalt
Ursprungsportal	Meldung von Verstößen an die BaFin-Hinweisgeberstelle Entgegennahme, Meldung von Verstößen an die BaFin-Hinweisgeberstelle Entgegennahme