

99050094169000, 99050094169000

Display activity as a financial investment broker and advisor

Heruntergeladen am 24.06.2025

<https://fimportal.de/xzufi-services/393984918/L100008>

Modul	Sachverhalt
Leistungsschlüssel	99050094169000, 99050094169000
Leistungsbezeichnung I	Display activity as a financial investment broker and advisor
Leistungsbezeichnung II	
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Sachsen-Anhalt
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Gewerbe (050)
Verrichtungskennung	Anzeige (169)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens

Modul	Sachverhalt
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400), Anmeldepflichten (2010100)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	
Fachlich freigegeben durch	no technical approval
Handlungsgrundlage	https://www.gesetze-im-internet.de/gewo/_13a.html https://www.gesetze-im-internet.de/gewo/_13b.html https://www.gesetze-im-internet.de/gewo/_13c.html https://www.gesetze-im-internet.de/finvermv/index.html https://www.gesetze-im-internet.de/gewo/_13a.html https://www.gesetze-im-internet.de/gewo/_13b.html https://www.gesetze-im-internet.de/gewo/_13c.html https://www.gesetze-im-internet.de/finvermv/index.html
Teaser	
Volltext	As a financial investment broker and advisor, you need a permit in Germany. If you wish to be self-employed as a financial investment broker only temporarily, prior written notification to the competent authority is sufficient. However, this only applies to EU or EEA citizens.
Erforderliche Unterlagen	• Proof of nationality (e.g. identity card or passport) • Proof of legal establishment for the exercise of financial investment brokerage activities in a member state of the EU or a contracting state to the Agreement on the European Economic Area • Proof that the pursuit of these activities is not prohibited, even temporarily, • Proof that there is no criminal record • documents from the country of establishment proving good repute for the purpose of carrying on the business of financial investment intermediaries, • proof of your professional qualification, if the activity of financial investment intermediary is also linked to the possession of certain professional qualifications in the country of establishment, • failing that, proof that you have engaged in financial

Modul	Sachverhalt
	investment brokerage business for at least two years in the previous ten years in the country of establishment, • Proof of insurance cover or any other form of individual or collective protection in relation to professional liability. If you are a trader from an EU member state or an EEA member state, you can use documents from your country of origin that prove that you meet the requirements for the reliability and orderly financial circumstances of a trader.
Voraussetzungen	• You are a citizen of a member state of the EU or a state party to the Agreement on the European Economic Area • You have a legal establishment for the purpose of acting as financial investment broker in one of these countries
Kosten	Fees apply. These result from the tariff of the competent authority and are determined by it. Please contact the competent authority.
Verfahrensablauf	The granting of the licence is automatically entered in the register of intermediaries. After you have obtained the permit, you must register your business before starting your activity.
Bearbeitungsdauer	
Frist	
weiterführende Informationen	
Hinweise	The permit is valid throughout Germany. It may be limited to one or more categories. Under certain conditions, the competent authority may revoke a licence.
Rechtsbehelf	
Kurztext	As a financial investment broker and advisor, you need a permit in Germany. If you wish to be self-employed as a financial investment broker only temporarily, prior written notification to the competent authority is sufficient. However, this only applies to EU or EEA

Modul	Sachverhalt
	citizens.
Ansprechpunkt	County or district-free city
Zuständige Stelle	
Formulare	
Ursprungsportal	Tätigkeit als Finanzanlagenvermittler und -berater anzeigen, Display activity as a financial investment broker and advisor