

99021001005000, 99021001005000

Apply for permission to establish a stock exchange

Heruntergeladen am 16.06.2025

<https://fimportal.de/xzufi-services/742091/L100038>

Modul	Sachverhalt
Leistungsschlüssel	99021001005000, 99021001005000
Leistungsbezeichnung I	Apply for permission to establish a stock exchange
Leistungsbezeichnung II	Apply for permission to establish a stock exchange
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Thüringen
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Börsenangelegenheiten (021)
Verrichtungskennung	Erlaubnis (005)
SDG-Informationsbereich	Eintragung, Änderung der Rechtsform oder Schließung eines Unternehmens (Registrierungsverfahren und Rechtsformen für geschäftliche Tätigkeiten), Erlangung von Lizenzen, Genehmigungen oder Zulassungen im

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	Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400), Anmeldepflichten (2010100)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	05.01.2022
Fachlich freigegeben durch	Thuringia Ministry of Finance
Handlungsgrundlage	https://www.gesetze-im-internet.de/b_rsg_2007/_4.html https://www.gesetze-im-internet.de/b_rsg_2007/_4a.html https://www.gesetze-im-internet.de/b_rsg_2007/_4b.html https://www.gesetze-im-internet.de/b_rsg_2007/_5.html https://www.gesetze-im-internet.de/b_rsg_2007/_6.html https://landesrecht.thueringen.de/bsth/document/jlr-VwKostGTH2005rahmen https://www.gesetze-im-internet.de/b_rsg_2007/_4.html https://www.gesetze-im-internet.de/b_rsg_2007/_4a.html https://www.gesetze-im-internet.de/b_rsg_2007/_4b.html https://www.gesetze-im-internet.de/b_rsg_2007/_5.html https://www.gesetze-im-internet.de/b_rsg_2007/_6.html https://landesrecht.thueringen.de/bsth/document/jlr-VwKostGTH2005rahmen
Teaser	To establish a stock exchange, you need a permit from the Securities and Exchange Commission.
Volltext	The Exchange Supervisory Authority may allow you to establish an exchange upon application. To do so, you must meet various requirements and provide evidence of these. The permission to establish an exchange is limited to the federal state in which you plan to

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	operate the exchange. The regulations of the Stock Exchange Act (BörsG) must be observed.
Erforderliche Unterlagen	• Proof of funds required for the operation of the Exchange; • The names of the managing director(s) of the operating entity of the Exchange, as well as information necessary for assessing the reliability and professional qualification of these persons; • A business plan indicating the type of planned transactions and the organizational structure and planned internal control procedures of the Exchange operating entity, as well as the Exchange's rules and regulations; • Information on the ownership structure of the Exchange operating entity, in particular on the owners of significant shareholdings as defined by the Exchange Act and their shareholding amounts; • information necessary for the assessment of the reliability of the holder of significant shareholdings. If the holder of a significant participation is a legal entity or a commercial partnership, the facts essential for assessing the reliability of its legal or statutory representatives or personally liable partners shall be provided. The Exchange Supervisory Authority may request the submission of further documents.
Voraussetzungen	The application for permission must be submitted in writing to the Thuringian Ministry of Finance. The requirements can be found in the Stock Exchange Act (BörsG). For the examination, the Exchange Supervisory Authority may require further information.
Kosten	• In accordance with the Thuringia Administrative Costs Act, fees are charged depending on the scope of the audit.
Verfahrensablauf	• They submit the required documents to the exchange

Modul	Sachverhalt
	supervisory authority. • The competent exchange supervisory authority is the authority in the state in whose territory the exchange is to be located. For Thuringia, this is the Thuringian Ministry of Finance. • The exchange supervisory authority examines whether the requirements for the admission to listing are met. Additional information may be required if necessary. • Permission or refusal by the exchange supervisory authority is given in writing by mail. • A permission expires if the Exchange does not start its operation within one year. • The Exchange Supervisory Authority may subsequently impose conditions on a permit or cancel it.
Bearbeitungsdauer	The processing time of the Exchange Supervisory Authority depends on the type and scope of the application submitted.
Frist	After the permit is issued, you have one year to set up the exchange, otherwise the permit expires.
weiterführende Informationen	
Hinweise	The obligations of the exchange operating company result from the Stock Exchange Act.
Rechtsbehelf	
Kurztext	• Anyone wishing to set up / operate a stock exchange requires a permit. • Certain requirements must be met. • Fees are incurred. • The application for permission must be submitted in writing to the Thuringian Ministry of Finance.
Ansprechpunkt	Contact the Thuringian Ministry of Finance as the state's stock exchange supervisory authority.
Zuständige Stelle	
Formulare	
Ursprungsportal	Apply for permission to establish a stock exchange,

Modul

Sachverhalt

Erlaubnis zur Errichtung einer Börse beantragen