

99050094169000, 99050094169000

# Foreign financial investment brokers and financial investment advisors Display

Heruntergeladen am 24.06.2025

<https://fimportal.de/xzufi-services/197468108/L100039>

Modul	Sachverhalt
Leistungsschlüssel	99050094169000, 99050094169000
Leistungsbezeichnung I	Foreign financial investment brokers and financial investment advisors Display
Leistungsbezeichnung II	
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Rheinland-Pfalz
Freigabestatus Katalog	fachlich freigegeben (gold)
Freigabestatus Bibliothek	fachlich freigegeben (silber)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Gewerbe (050)
Verrichtungskennung	Anzeige (169)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder

Modul	Sachverhalt
	Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400), Anmeldepflichten (2010100)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	
Fachlich freigegeben durch	
Handlungsgrundlage	<a href="https://www.gesetze-im-internet.de/gewo/index.html">https://www.gesetze-im-internet.de/gewo/index.html</a> <a href="https://www.gesetze-im-internet.de/finvermv/index.html">https://www.gesetze-im-internet.de/finvermv/index.html</a> <a href="https://www.gesetze-im-internet.de/gewo/index.html">https://www.gesetze-im-internet.de/gewo/index.html</a> <a href="https://www.gesetze-im-internet.de/finvermv/index.html">https://www.gesetze-im-internet.de/finvermv/index.html</a>
Teaser	
Volltext	As a financial investment broker and advisor, you require a license in Germany. If you only wish to work as a self-employed financial investment broker on a temporary basis, prior written notification to the competent authority is sufficient. However, this only applies to EU or EEA citizens.
Erforderliche Unterlagen	<ul style="list-style-type: none"> <li>• Proof of nationality (e.g. identity card or passport)</li> <li>• Proof of legal establishment for the exercise of financial investment brokerage activities in a member state of the EU or a signatory state to the Agreement on the European Economic Area</li> <li>• Proof that the exercise of these activities is not prohibited, not even temporarily</li> <li>• Proof that there is no criminal record</li> <li>• Documents from the country of establishment that prove your personal reliability to carry out the financial investment brokerage business,</li> <li>• Proof of your professional qualification if the activity of financial investment brokerage is also subject to the possession of certain professional qualifications in the country of establishment,</li> <li>• otherwise, proof that you have practiced financial investment brokerage in the country of establishment</li> </ul>

Modul	Sachverhalt
	<p>for at least two years in the previous ten years,</p> <ul style="list-style-type: none"> <li>• proof of insurance cover or another type of individual or collective protection with regard to professional liability.</li> </ul> <p>If you are a trader from an EU member state or an EEA member state, you can use documents from your country of origin to prove that you meet the requirements for the reliability and orderly financial circumstances of a trader.</p>
Voraussetzungen	<ul style="list-style-type: none"> <li>• You are a citizen of a member state of the EU or a signatory state to the Agreement on the European Economic Area</li> <li>• You maintain a legal establishment for the exercise of financial investment brokerage activities in one of these countries</li> </ul>
Kosten	Fees are incurred. These are based on the fee schedule of the responsible office and are determined by this office. Please contact the responsible office.
Verfahrensablauf	The granting of the license is automatically entered in the register of intermediaries. After you have received the permit, you must register your business before you start your activity.
Bearbeitungsdauer	
Frist	
weiterführende Informationen	
Hinweise	<p>The permit is valid throughout Germany. It may be limited to one or more categories. Under certain circumstances, the competent authority may revoke a permit.</p> <p><a href="https://iq-rlp.de/landesnetzwerk">https://iq-rlp.de/landesnetzwerk</a>  <a href="https://iq-rlp.de/landesnetzwerk">https://iq-rlp.de/landesnetzwerk</a></p>
Rechtsbehelf	
Kurztext	As a financial investment broker and advisor, you require a license in Germany. If you only wish to work as a self-employed financial investment broker on a temporary basis, prior written notification to the

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	competent authority is sufficient. However, this only applies to EU or EEA citizens.
Ansprechpunkt	<p>Notification of the temporary activity to the competent authority.</p> <p>The competent authorities in Rhineland-Palatinate are Municipal administration of the municipality not belonging to an association, the administration of the association of municipalities and, in cities not belonging to a district or a large district, the city administration.</p> <p>The procedure can also be handled by the single point of contact.  <a href="https://eap.rlp.de/de/startseite/">https://eap.rlp.de/de/startseite/</a>  <a href="https://eap.rlp.de/de/startseite/">https://eap.rlp.de/de/startseite/</a></p>
Zuständige Stelle	
Formulare	
Ursprungsportal	Ausländische Finanzanlagenvermittler und Finanzanlagenberater Anzeige, Foreign financial investment brokers and financial investment advisors Display