

99021004001000, 99021004001000

Securities - Apply for admission to the regulated market

Heruntergeladen am 08.06.2025

<https://fimportal.de/xzufi-services/231862547/L100039>

Modul	Sachverhalt
Leistungsschlüssel	99021004001000, 99021004001000
Leistungsbezeichnung I	Securities - Apply for admission to the regulated market
Leistungsbezeichnung II	Securities - Apply for admission to the regulated market
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Rheinland-Pfalz
Freigabestatus Katalog	fachlich freigegeben (gold)
Freigabestatus Bibliothek	fachlich freigegeben (gold)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Börsenangelegenheiten (021)
Verrichtungskennung	Erteilung (001)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und

Modul	Sachverhalt
	Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	17.12.2024
Fachlich freigegeben durch	Ministry of Economic Affairs, Transport, Agriculture and Viticulture Rhineland-Palatinate
Handlungsgrundlage	https://www.gesetze-im-internet.de/b_rsg_2007/_32.html https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32017R1129 https://www.gesetze-im-internet.de/b_rsg_2007/_32.html https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32017R1129
Teaser	Securities that you wish to place on the stock exchange for trading on the regulated market must have been admitted beforehand.
Volltext	If you wish to have securities traded on the regulated market of a stock exchange, you require admission by the management. Unless the securities are already admitted by law.
Erforderliche Unterlagen	<ul style="list-style-type: none"> • Certificate of approval from the German Federal Financial Supervisory Authority (BaFin) or the competent authorities of other member states of the European Economic Area (EEA) <ul style="list-style-type: none"> • Copy of the global certificate or global certificate for securities • Articles of association or partnership agreement in the currently valid version • Certified extract from the commercial register in the latest version • Authorization certificates, if <ul style="list-style-type: none"> • the establishment of the issuer • the exercise of its business activities or • the issue of securities requires state approval • Evidence of the legal basis for the issue of securities • Annual financial statements and management

Modul

Sachverhalt

reports for the last 3 financial years, including the auditors' reports

Voraussetzungen

- As a company wishing to issue a security, you must submit an application for admission to the stock exchange together with
 - a credit institution,
 - a financial services institution
 - a securities institution,
 - the branch of a foreign company in Germany that conducts banking business or provides financial services, or
 - the German branch of a CRR credit institution domiciled in another EEA member state.
- As an applicant company, you must submit a prospectus approved or notified by the German Federal Financial Supervisory Authority (BaFin). You must publish this prospectus before listing the security on the stock exchange.
- Your company must have been in existence for at least 3 years and you must have published annual financial statements for the 3 financial years preceding the application.
- Depending on their class, the securities must meet certain minimum requirements with regard to
 - expected market value,
 - equity capital,
 - total nominal value or
 - number of units.
- The securities must be freely tradable.
- The denomination of the securities, in particular the smallest denomination and the number of securities issued in this denomination, must take into account the needs of stock exchange trading and the public.
- Shares to be admitted must be sufficiently diversified.

Kosten

Verfahrensablauf

Bearbeitungsdauer

Frist

weiterführende

Modul	Sachverhalt
Informationen	
Hinweise	
Rechtsbehelf	
Kurztext	<ul style="list-style-type: none"> • Admission of securities to stock exchange trading Issue <ul style="list-style-type: none"> • Securities that are to be traded on the regulated market must be admitted beforehand • Exception: security has already been admitted by law • Application must be submitted together with the financial institution involved • The application must include a prospectus approved by the German Federal Financial Supervisory Authority (BaFin) or a notified prospectus • Prospectus must be published in advance at the expense of the applicant company • responsible: Management Board of the stock exchange
Ansprechpunkt	
Zuständige Stelle	<p>Responsibility lies with the highest state authority in Rhineland-Palatinate.</p> <p>The highest state authority is responsible for stock exchange supervision.</p>
Formulare	
Ursprungsportal	Wertpapiere – Zulassung zum regulierten Markt beantragen, Securities - Apply for admission to the regulated market