

99021001005000, 99021001005000

# Applying for permission to set up a stock exchange

Heruntergeladen am 16.06.2025

<https://fimportal.de/xzufi-services/233486512/L100039>

Modul	Sachverhalt
Leistungsschlüssel	99021001005000, 99021001005000
Leistungsbezeichnung I	Applying for permission to set up a stock exchange
Leistungsbezeichnung II	Applying for permission to set up a stock exchange
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	Börsenangelegenheiten (021)
Verrichtungskennung	Erlaubnis (005)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400),

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	Anmeldepflichten (2010100)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	17.12.2024
Fachlich freigegeben durch	Ministry of Economic Affairs, Transport, Agriculture and Viticulture Rhineland-Palatinate
Handlungsgrundlage	<a href="https://www.gesetze-im-internet.de/b_rsg_2007/index.html#BJNR135100007BJNE000503123">https://www.gesetze-im-internet.de/b_rsg_2007/index.html#BJNR135100007BJNE000503123</a> <a href="https://www.gesetze-im-internet.de/b_rsg_2007/index.html#BJNR135100007BJNE000503123">https://www.gesetze-im-internet.de/b_rsg_2007/index.html#BJNR135100007BJNE000503123</a>
Teaser	The stock exchange supervisory authority may allow you to set up a stock exchange upon application.
Volltext	<p>The stock exchange supervisory authority can authorize you to set up a stock exchange upon application. To do so, you must fulfill various requirements and provide evidence of these. Permission to set up a stock exchange is limited to the federal state in which you plan to operate the stock exchange.</p> <p>The regulations of the Stock Exchange Act (BörsG) must be observed.</p>
Erforderliche Unterlagen	<ul style="list-style-type: none"> <li>• Proof of the funds required to operate the Exchange pursuant to § 5 (5) of the Stock Exchange Act;               <ul style="list-style-type: none"> <li>• The names of the Exchange Operating Institution's Managing Director(s) as well as information required to assess the reliability and professional suitability of these persons;</li> <li>• A business plan indicating the nature of the planned transactions and the organizational structure and planned internal control procedures of the exchange operating company, as well as the rules and regulations of the exchange;</li> <li>• Information on the ownership structure of the Exchange Operating Institution, in particular on the owners of significant shareholdings within the meaning of section 6 (6) of the Stock Exchange Act and the size of their shareholdings;</li> <li>• Information required to assess the reliability of the</li> </ul> </li> </ul>

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	<p>holders of major shareholdings.</p> <p>If the holder of a major shareholding is a legal entity or commercial partnership, the facts essential for assessing the reliability of its legal or statutory representatives or personally liable partners must be stated.</p> <p>The Exchange Supervisory Authority may require the submission of further documents.</p>
Voraussetzungen	<p>The application for a license must be submitted in writing to the stock exchange supervisory authority. The requirements can be found in the Stock Exchange Act (BörsG).</p> <p>The Exchange Supervisory Authority may require further information for the examination.</p>
Kosten	<ul style="list-style-type: none"> <li>• Fixed costs</li> <li>• Cost framework (range)</li> </ul> <p>in accordance with the respective state administrative cost regulations</p>
Verfahrensablauf	<ul style="list-style-type: none"> <li>• You submit the required documents to the exchange supervisory authority.             <ul style="list-style-type: none"> <li>• The competent exchange supervisory authority is the authority in the country in whose territory the exchange is to be located.</li> <li>• The exchange supervisory authority checks whether the requirements for admission to trading have been met. Additional information may be requested if necessary.</li> <li>• The Exchange Supervisory Authority shall issue its approval or refusal in writing by post.</li> <li>• A license expires if the stock exchange does not commence operations within one year.</li> <li>• The Exchange Supervisory Authority may subsequently impose conditions on a license or revoke it (Section 4 (5) BörsG).</li> </ul> </li> </ul>
Bearbeitungsdauer	The processing time of the stock exchange supervisory

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	authority depends on the type and scope of the application submitted.
Frist	Once the permit has been issued, you have one year to set up the exchange, otherwise the permit will expire.
weiterführende Informationen	
Hinweise	The obligations of the exchange operating company are set out in Section 5 of the Stock Exchange Act.
Rechtsbehelf	
Kurztext	Anyone wishing to set up / operate a stock exchange requires a license.
Ansprechpunkt	
Zuständige Stelle	The highest state authority is responsible for stock exchange supervision.
Formulare	The application for permission must be submitted in writing to the Exchange Supervisory Authority.
Ursprungsportal	Applying for permission to set up a stock exchange, Erlaubnis zur Errichtung einer Börse beantragen