

99021002001000

Heruntergeladen am 08.06.2025

<https://fimportal.de/xzufi-services/107134/L100042>

Modul	Sachverhalt
Leistungsschlüssel	99021002001000
Leistungsbezeichnung I	
Leistungsbezeichnung II	Stock exchange - apply for admission
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Bayern
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	
Leistungsgruppierung	
Verrichtungskennung	
SDG-Informationsbereich	
Lagen Portalverbund	
Einheitlicher Ansprechpartner	
Fachlich freigegeben am	26.09.2024

Modul	Sachverhalt
Fachlich freigegeben durch	Bundesministerium der Finanzen
Handlungsgrundlage	https://www.gesetze-im-internet.de/b_rsg_2007/_19.html https://www.gesetze-im-internet.de/b_rsg_2007/_19.html
Teaser	If a credit or financial services institution wishes to trade directly on a stock exchange, the institution requires admission as a trading participant.
Volltext	<p>In order to participate in trading as trading participants, credit institutions, financial services institutions and financial companies require admission. This is done by the management of the exchange.</p> <p>Each trading participant may have an unlimited number of traders. However, a trading participant must have at least one admitted trader in order to fulfill the participation requirements for trading.</p>
Erforderliche Unterlagen	<ul style="list-style-type: none"> • Required Documents <ul style="list-style-type: none"> • Proof of personal reliability of the business owner or the person managing the business or authorized to represent the business • Proof of professional competence of the business owner or the person managing the business or authorized to represent the company • Proof of the required equity capital of the business (equity capital is considered to be the paid-in capital and reserves after deduction of withdrawals by the owner or personally liable partners and loans granted to them, as well as any debt overhang in the owner's free assets)
Voraussetzungen	<p>Only those persons may be admitted to participation in exchange trading who, in the case of items that can be traded on the exchange, commercially</p> <ul style="list-style-type: none"> • acquires and sells them for his own account, or • carries out the acquisition and sale in his own name for the account of a third party, or • undertakes the brokerage of contracts for the acquisition and sale of such items

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and the nature and scope of its business operations require a commercially structured business operation.

The admission of a company to participate in stock exchange trading shall be granted if

- the proprietor of the business or the persons entrusted by law, the articles of association or the partnership agreement with the management of the business of the company and authorized to represent it
 - are reliable, and
 - at least one of these persons has the professional qualification required for securities or commodities trading on the Exchange;
- the orderly settlement of the transactions concluded on the stock exchange is ensured;
- the company provides evidence of equity capital of at least EUR 50,000 (except in the case of credit institutions, financial services institutions or companies operating pursuant to Section 53 (1) sentence 1 or Section 53b (1) sentence 1 of the German Banking Act, which are authorized to operate the financial commission business within the meaning of Section 1 (1) sentence 2 no. 4 or to provide a financial service within the meaning of Section 1 (1a) sentence 2 nos. 1 to 4 of the German Banking Act);
- in the case of the company required to provide evidence of equity capital, no facts justify the assumption that it does not have the economic capacity required for proper participation in stock exchange trading, taking into account the evidence of equity capital.

Kosten
Verfahrensablauf

Admission as a trading participant must be applied for in writing.

Bearbeitungsdauer
Frist

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weiterführende Informationen	https://www.boerse-muenchen.de/boersenplatz#e79a5115836f4b2894e3f6de2f8b975d https://www.boerse-muenchen.de/boersenplatz#e79a5115836f4b2894e3f6de2f8b975d
Hinweise	Any person who wishes to trade on the exchanges and must be authorized to trade on the exchange on behalf of a trading participant requires an exchange trader license.
Rechtsbehelf	
Kurztext	
Ansprechpunkt	
Zuständige Stelle	
Formulare	
Ursprungsportal	BayernPortal, BayernPortal