

99050094169000

Foreign financial investment brokers and financial investment advisors

Heruntergeladen am 24.06.2025

<https://fimportal.de/xzufi-services/S1000020010000011588/S100002>

Modul	Sachverhalt
Leistungsschlüssel	99050094169000
Leistungsbezeichnung I	Foreign financial investment brokers and financial investment advisors
Leistungsbezeichnung II	View foreign financial investment brokers and financial investment advisors
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Hamburg
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	<div lang="en-x-mtfrom-de">Investment advisor</div> , <div lang="en-x-mtfrom-de">Investment advice</div> , <div lang="en-x-mtfrom-de">closed funds</div> , <div lang="en-x-mtfrom-de">Investment</div> , <div lang="en-x-mtfrom-de">Lending</div> , <div lang="en-x-mtfrom-de">Investment</div>

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Leistungstyp	
Leistungsgruppierung	
Verrichtungskennung	
SDG-Informationsbereich	
Lagen Portalverbund	
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	01.12.2021
Fachlich freigegeben durch	
Handlungsgrundlage	Section 13a Trade Regulations (GewO) § 13b trade regulations (GewO) § 13c trade regulations (GewO) Ordinance on Financial Investment Brokerage (FinVermV)
Teaser	As a financial investment broker and advisor, you need a permit in Germany
Volltext	As a financial investment broker and advisor, you need a permit in Germany. If you only want to work temporarily as a self-employed financial investment broker, prior written notification to the competent authority is sufficient. However, this only applies to EU or EEA citizens.
Erforderliche Unterlagen	Proof of citizenship (e.g. identity card or passport) Evidence of legal establishment for the exercise of financial investment brokerage activities in a member state of the EU or a state party to the Agreement on the European Economic Area Evidence that the exercise of these activities is not prohibited, even temporarily Proof of no criminal record Documents from the country of domicile that prove personal reliability to practice the financial investment brokerage business, Proof of your professional qualification if the activity of the financial investment brokerage business is also linked to the possession of certain professional qualifications in the country of establishment, otherwise proof that you have practiced a financial investment brokerage business for at least

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	two years in the country in which you are based in the previous ten years, Proof of insurance coverage or other type of individual or collective protection in relation to professional indemnity. If you are a trader from a member state of the EU or an EEA member state, you can use documents from your country of origin that prove that you meet the requirements for the reliability and orderly financial situation of a trader.
Voraussetzungen	You are a citizen of a member state of the EU or a state party to the Agreement on the European Economic Area You maintain a legal branch in one of these countries to carry out the financial investment brokerage activity
Kosten	Fees apply. There will be charges. Please call to inquire about the fee.
Verfahrensablauf	The granting of the permit is automatically entered in the intermediary register. After you have received the permit, you must register your business before starting your activity.
Bearbeitungsdauer	
Frist	
weiterführende Informationen	https://www.gesetze-im-internet.de/finvermv/ https://www.gesetze-im-internet.de/finvermv/ https://www.gesetze-im-internet.de/gewo/_13a.html https://www.gesetze-im-internet.de/gewo/_13a.html https://www.gesetze-im-internet.de/gewo/_13b.html https://www.gesetze-im-internet.de/gewo/_13b.html https://www.gesetze-im-internet.de/gewo/_13c.html https://www.gesetze-im-internet.de/gewo/_13c.html
Hinweise	The permit is valid throughout Germany. It can be limited to one or more categories. Under certain conditions, the competent authority can revoke a permit.
Rechtsbehelf	
Kurztext	Foreign financial investment brokers and financial investment advisors As a financial investment broker and advisor, you need a permit in Germany. In the case of temporary self-employment as a financial

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	investment broker, prior written notification to the competent authority is sufficient. However, this only applies to EU or EEA citizens. Responsible: Hamburg Chamber of Commerce
Ansprechpunkt	
Zuständige Stelle	Authority for Economy and Innovation
Formulare	
Ursprungsportal	Hamburg Service, Hamburg Service (Currently this link is only available in german)