

99021001005000

Establishment of a stock exchange permit

Heruntergeladen am 16.06.2025

<https://fimportal.de/xzufi-services/S1000020010000012427/S100002>

Modul	Sachverhalt
Leistungsschlüssel	99021001005000
Leistungsbezeichnung I	Establishment of a stock exchange permit
Leistungsbezeichnung II	Apply for permission to set up a stock exchange
Typisierung	2 - Bundesauftragsverwaltung: Regelung
Quellredaktion	Hamburg
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	<div lang="en-x-mtfrom-de">Application</div>, <div lang="en-x-mtfrom-de">operation</div>, <div lang="en-x-mtfrom-de">permission</div>, <div lang="en-x-mtfrom-de">stock exchange</div>, <div lang="en-x-mtfrom-de">erection</div>
Leistungstyp	
Leistungsgruppierung	
Verrichtungskennung	
SDG-Informationsbereich	

Modul	Sachverhalt
Lagen Portalverbund	
Einheitlicher Ansprechpartner	Ja
Fachlich freigegeben am	24.10.2022
Fachlich freigegeben durch	
Handlungsgrundlage	[§§ 4 to 6 of the Stock Exchange Act (BörsG)](https://www.gesetze-im-internet.de/b_rsg_2007/index.html) (www.gesetze-im-internet.de/b_rsg_2007/index.html)
Teaser	The stock exchange supervisory authority can permit you to set up a stock exchange upon application.
Volltext	The stock exchange supervisory authority can permit you to set up a stock exchange upon application. To do this, you must meet and prove various requirements. Permission to set up an exchange is limited to the state in which you plan to operate the exchange. The regulations of the Stock Exchange Act (BörsG) must be observed.
Erforderliche Unterlagen	<ul style="list-style-type: none"> • Evidence of the funds required for stock exchange operations pursuant to Section 5 (5) of the Stock Exchange Act; • The names of the managing directors of the sponsor of the stock exchange as well as information required to assess the reliability and professional suitability of these persons; • A business plan showing the nature of the planned transactions and the organizational structure and the planned internal control procedures of the operator of the exchange, as well as the rules and regulations of the exchange; • Information on the ownership structure of the operator of the stock exchange, in particular on the owners of significant holdings within the meaning of Section 6 (6) of the Stock Exchange Act and the size of their holdings; • Information required to assess the reliability of holders of significant holdings. If the owner of a significant holding is a legal person or commercial partnership, the facts that are essential for assessing

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	<p>the reliability of his/her legal or statutory representative or general partner are to be stated.</p> <p>The stock exchange supervisory authority may require you to submit additional documents.</p>
Voraussetzungen	<p>You submit the application for a license to the stock exchange supervisory authority in writing. Please refer to the Stock Exchange Act (BörsG) for the requirements.</p> <p>The stock exchange supervisory board may request further information from you in order to examine your application.</p>
Kosten	<ul style="list-style-type: none"> • fixed costs • budget (range) <p>according to the respective state administrative cost regulations</p>
Verfahrensablauf	<ul style="list-style-type: none"> • You submit the required documents to the stock exchange supervisory authority. <ul style="list-style-type: none"> • The competent stock exchange supervisory authority is the authority in the country in whose territory the stock exchange is to be located. • The stock exchange supervisory authority checks whether the requirements for admission to the stock exchange are met. Additional information can be requested if necessary. • The approval or rejection of the stock exchange supervisory authority takes place in writing by post. • A permit expires if the exchange does not start operations within one year. • The stock exchange supervisory authority can subsequently impose conditions or revoke a license (section 4 (5) of the Stock Exchange Act).
Bearbeitungsdauer	The processing time of the stock exchange supervisory authority depends on the type and scope of the application made.
Frist	Once the permit has been granted, you have one year to set up the exchange, otherwise the permit expires.
weiterführende Informationen	https://fimportal.de/detail/L/99021001005000 https://fimportal.de/detail/L/99021001005000

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Hinweise	The obligations of the stock exchange operator result from Section 5 of the Stock Exchange Act.
Rechtsbehelf	No
Kurztext	If you want to set up / operate an exchange, you need a permit.
Ansprechpunkt	
Zuständige Stelle	Tax authority - asset and investment management (Office 3)
Formulare	
Ursprungsportal	Hamburg Service, Hamburg Service (Currently this link is only available in german)