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# Financial investment intermediaries and financial investment advisors (foreign): Advertisement

Heruntergeladen am 20.07.2025

<https://fimportal.de/xzufi-services/347288851/L100001>

Modul	Sachverhalt
Leistungsschlüssel	99050094169000
Leistungsbezeichnung I	Financial investment intermediaries and financial investment advisors (foreign): Advertisement
Leistungsbezeichnung II	
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Hessen
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	fachlich freigegeben (silber)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Gewerbe (050)

<b>Modul</b>	<b>Sachverhalt</b>
<b>Verrichtungskennung</b>	Anzeige (169)
<b>SDG-Informationsbereich</b>	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
<b>Lagen Portalverbund</b>	Anmeldepflichten (2010100), Erlaubnisse und Genehmigungen (2010400)
<b>Einheitlicher Ansprechpartner</b>	Nein
<b>Fachlich freigegeben am</b>	05.09.2014
<b>Fachlich freigegeben durch</b>	Hessian Ministry of Economic Affairs, Energy, Transport and Regional Development
<b>Handlungsgrundlage</b>	<a href="https://www.gesetze-im-internet.de/gewo/_13a.html">https://www.gesetze-im-internet.de/gewo/_13a.html</a> <a href="https://www.gesetze-im-internet.de/gewo/_13b.html">https://www.gesetze-im-internet.de/gewo/_13b.html</a> <a href="https://www.gesetze-im-internet.de/gewo/_13c.html">https://www.gesetze-im-internet.de/gewo/_13c.html</a> <a href="https://www.gesetze-im-internet.de/finvermv/index.html">https://www.gesetze-im-internet.de/finvermv/index.html</a> <a href="https://www.gesetze-im-internet.de/gewo/_13a.html">https://www.gesetze-im-internet.de/gewo/_13a.html</a> <a href="https://www.gesetze-im-internet.de/gewo/_13b.html">https://www.gesetze-im-internet.de/gewo/_13b.html</a> <a href="https://www.gesetze-im-internet.de/gewo/_13c.html">https://www.gesetze-im-internet.de/gewo/_13c.html</a> <a href="https://www.gesetze-im-internet.de/finvermv/index.html">https://www.gesetze-im-internet.de/finvermv/index.html</a>
<b>Teaser</b>	
<b>Volltext</b>	<p>As a financial investment broker and advisor, you need a permit in Germany.</p> <p>If you wish to be self-employed as a financial investment broker only temporarily, prior written notification to the competent authority is sufficient. However, this only applies to EU or EEA citizens.  <a href="https://www.hessenfinder.de/portaldeeplink/?tsa_leistung_id=344097462">https://www.hessenfinder.de/portaldeeplink/?tsa_leistung_id=344097462</a>  <a href="https://www.hessenfinder.de/portaldeeplink/?tsa_leistung_id=344097462">https://www.hessenfinder.de/portaldeeplink/?tsa_leistung_id=344097462</a></p>
<b>Erforderliche Unterlagen</b>	<ul style="list-style-type: none"> <li>• Proof of nationality (e.g. identity card or passport)</li> <li>• Proof of legal establishment for the exercise of financial investment brokerage activities in a member state of the EU or a contracting state to the Agreement</li> </ul>

## Modul

## Sachverhalt

on the European Economic Area

- Proof that the pursuit of these activities is not prohibited, even temporarily,
- Proof that there is no criminal record
- documents from the country of establishment proving good repute for the purpose of carrying on the business of financial investment intermediaries,
- proof of your professional qualification, if the activity of financial investment intermediary is also linked to the possession of certain professional qualifications in the country of establishment,
- otherwise, proof that you have carried out a financial investment brokerage business in the country of establishment for at least 2 years in the previous 10 years,
- Proof of insurance cover or any other form of individual or collective protection in relation to professional liability.

If you are a trader from an EU member state 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 circumstances 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 have a legal establishment for the purpose of acting as financial investment broker in one of these countries

## Kosten

Fees apply. These result from the tariff of the competent authority and are determined by it. Please contact the competent authority.

## Verfahrensablauf

The granting of the licence is automatically entered in the register of intermediaries. After you have obtained the permit, you must register your business before starting your activity.

## Bearbeitungsdauer

## Frist

## weiterführende

Modul	Sachverhalt
<b>Informationen</b>	
<b>Hinweise</b>	The permit is valid throughout Germany. It may be limited to one or more categories. Under certain conditions, the competent authority may revoke a licence.
<b>Rechtsbehelf</b>	
<b>Kurztext</b>	
<b>Ansprechpunkt</b>	<p>In Hesse, the Chamber of Industry and Commerce (IHK) in whose district the applicant's registered office is or is to be located is usually responsible: Darmstadt, Frankfurt, Fulda, Gießen-Friedberg, Hanau, Kassel, Lahn-Dill, Limburg, Offenbach or Wiesbaden.</p> <p>Due to cooperation agreements, the advertisement</p> <ul style="list-style-type: none"> <li>• by the IHK Limburg centrally for the Central Hessian IHKs (Lahn-Dill, Gießen-Friedberg, Limburg),</li> <li>• from the IHK Wiesbaden also for the IHK Hanau</li> </ul> <p>Accepted.</p> <p>You can also complete the procedure electronically via the Point of Single Contact  <a href="https://eah.hessen.de/">https://eah.hessen.de/</a>  <a href="https://eah.hessen.de/">https://eah.hessen.de/</a></p>
<b>Zuständige Stelle</b>	
<b>Formulare</b>	A separate platform has been developed for online applications. On the so-called service platform you can submit your applications electronically and much more! You are welcome to get your own impression of the application in advance without registering beforehand. To do this, use the simulation. In order to make full use of the online application, you must first register with the online application process.
<b>Ursprungsportal</b>	Financial investment intermediaries and financial investment advisors (foreign): Advertisement, Finanzanlagenvermittler und Finanzanlagenberater (ausländisch): Anzeige