

99021004001000, 99021004001000

# Securities - Application for Admission to the Regulated Market

Heruntergeladen am 10.06.2025

<https://fimportal.de/xzufi-services/365857561/L100001>

Modul	Sachverhalt
Leistungsschlüssel	99021004001000, 99021004001000
Leistungsbezeichnung I	Securities - Application for Admission to the Regulated Market
Leistungsbezeichnung II	Securities - Application for Admission to the Regulated Market
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Hessen
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	fachlich freigegeben (gold)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Börsenangelegenheiten (021)
Verrichtungskennung	Erteilung (001)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und

Modul	Sachverhalt
	Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	30.09.2021
Fachlich freigegeben durch	Federal Ministry of Finance
Handlungsgrundlage	<a href="https://www.gesetze-im-internet.de/b_rsg_2007/_32.html">https://www.gesetze-im-internet.de/b_rsg_2007/_32.html</a> <a href="https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32017R1129">https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32017R1129</a> <a href="https://www.gesetze-im-internet.de/b_rsg_2007/_32.html">https://www.gesetze-im-internet.de/b_rsg_2007/_32.html</a> <a href="https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32017R1129">https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32017R1129</a>
Teaser	Securities that you wish to place on the stock exchange for trading on the regulated market must have been admitted beforehand.
Volltext	If you want to have securities traded on the regulated market of a stock exchange, you need an admission by the management for this purpose. Unless the securities are already admitted by law.
Erforderliche Unterlagen	<ul style="list-style-type: none"> <li>• Certificate of approval by the Federal Financial Supervisory Authority (BaFin) or the competent authorities of other member states of the European Economic Area (EEA)               <ul style="list-style-type: none"> <li>• Copy of the global certificate or global certificate for securities</li> <li>• Articles of association or partnership agreement in the currently valid version</li> <li>• certified excerpt from the commercial register in the latest version</li> <li>• instruments of approval, if                   <ul style="list-style-type: none"> <li>• the establishment of the issuer</li> <li>• the exercise of its business activities or</li> <li>• the issue of the securities requires state approval</li> </ul> </li> <li>• evidence of the legal basis for the issue of securities</li> <li>• annual financial statements and the management reports for the last 3 financial years, including the</li> </ul> </li> </ul>

Modul	Sachverhalt
	auditors' reports
Voraussetzungen	<ul style="list-style-type: none"> <li>• As a company wishing to issue a security, you must submit the application for admission to the Exchange together with               <ul style="list-style-type: none"> <li>• a credit institution,</li> <li>• a financial services institution,</li> <li>• a securities institution,</li> <li>• the branch of a foreign company in Germany that conducts banking business or provides financial services, or</li> <li>• the German branch of a CRR credit institution domiciled in another EEA state.</li> </ul> </li> <li>• As the applying company, you must submit a prospectus approved by the Federal Financial Supervisory Authority or a notified prospectus. You must publish this prospectus before the security is listed on the stock exchange.</li> <li>• Your company must have been in existence for at least 3 years and you must have published annual financial statements for the 3 financial years preceding the application.</li> <li>• The securities must - depending on their class - have certain minimum amounts with regard to               <ul style="list-style-type: none"> <li>• expected market value,</li> <li>• equity capital,</li> <li>• total nominal amount or</li> <li>• number of units.</li> </ul> </li> <li>• The securities must be freely tradable.</li> <li>• The denomination of the securities, in particular the smallest denomination and the number of securities issued in that denomination, must take account of the needs of exchange trading and the public.</li> <li>• Shares to be admitted to trading must be sufficiently widely spread.</li> </ul>
Kosten	
Verfahrensablauf	
Bearbeitungsdauer	
Frist	
weiterführende Informationen	

Modul	Sachverhalt
Hinweise	
Rechtsbehelf	
Kurztext	<ul style="list-style-type: none"> <li>• Admission of securities to trading on the stock exchange Issuance               <ul style="list-style-type: none"> <li>• Securities to be traded on the regulated market must be admitted beforehand</li> <li>• Exception: security has already been admitted by law</li> <li>• Application must be submitted together with the financial institution involved</li> <li>• Among other things, a prospectus approved by the Federal Financial Supervisory Authority (BaFin) or a notified prospectus must be attached to the application</li> <li>• Prospectus must be published in advance at the expense of the applying company</li> <li>• responsible: Stock Exchange Management</li> </ul> </li> </ul>
Ansprechpunkt	
Zuständige Stelle	
Formulare	
Ursprungsportal	Securities - Application for Admission to the Regulated Market, Wertpapiere – Zulassung zum regulierten Markt beantragen