

99021001005000, 99021001005000

# Applying for the establishment of a stock exchange

Heruntergeladen am 16.06.2025

<https://fimportal.de/xzufi-services/29828244/L100008>

Modul	Sachverhalt
Leistungsschlüssel	99021001005000, 99021001005000
Leistungsbezeichnung I	Applying for the establishment of a stock exchange
Leistungsbezeichnung II	
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Sachsen-Anhalt
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Börsenangelegenheiten (021)
Verrichtungskennung	Erlaubnis (005)
SDG-Informationsbereich	Eintragung, Änderung der Rechtsform oder Schließung eines Unternehmens (Registrierungsverfahren und Rechtsformen für geschäftliche Tätigkeiten)
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400),

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	Anmeldepflichten (2010100)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	03.12.2020
Fachlich freigegeben durch	Hessian Ministry of Economic Affairs, Energy, Transport and Housing
Handlungsgrundlage	§§ 4 to 6 of the Stock Exchange Act
Teaser	The Securities and Exchange Commission may allow you to set up a stock exchange upon request.
Volltext	<p>The Securities and Exchange Commission may allow you to set up a stock exchange upon request. To do this, you must meet different requirements and prove them. Permission to set up an exchange is limited to the state in which you plan to operate the exchange.</p> <p>The regulations of the Stock Exchange Act (BörsG) must be observed.</p>
Erforderliche Unterlagen	<ul style="list-style-type: none"> <li>• Proof of the funds required for stock exchange operation in accordance with § 5 (5) of the Stock Exchange Act;</li> <li>• The names of the manager of the holder of the stock exchange and the information necessary to assess the reliability and professional competence of these persons;</li> <li>• A business plan setting out the nature of the planned transactions and the organisational structure and internal control procedures of the bearer of the stock exchange, as well as the rules of the stock exchange;</li> <li>• information on the ownership structure of the bearer of the stock exchange, in particular on the holders of significant shareholdings within the meaning of § 6 (6) of the Stock Exchange Act and their amount of participation;</li> <li>• Information necessary for the assessment of the reliability of holders of significant holdings.</li> </ul> <p>If the holder of a significant holding is a legal person or a commercial partnership, the facts essential for assessing the reliability of its legal or statutory</p>

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	<p>representative or personally liable partner shall be indicated.</p> <p>The Securities and Exchange Commission may require the submission of further documents.</p>
Voraussetzungen	<p>The application for permission must be submitted in writing to the Securities and Exchange Commission. The requirements can be found in the Stock Exchange Act (BörsG).</p> <p>For the examination, the stock exchange supervisory authority may request further information.</p>
Kosten	<ul style="list-style-type: none"> <li>• fixed costs</li> <li>• Cost framework (range)</li> </ul> <p>in accordance with the respective state administrative cost regulations</p>
Verfahrensablauf	<ul style="list-style-type: none"> <li>• You submit the required documents to the Securities and Exchange Commission.               <ul style="list-style-type: none"> <li>• The competent stock exchange supervisory authority is the authority in the country in whose territory the stock exchange is to be located.</li> <li>• The Securities and Exchange Commission checks whether the requirements for admission to the stock exchange are met. Additional information may be requested if necessary.</li> <li>• The permission or rejection of the Securities and Exchange Commission is made in writing by post.</li> <li>• A permit expires if the exchange does not start operating within one year.</li> <li>• A permit can be subsequently imposed or revoked by the Stock Exchange Supervisory Authority (§ 4 para. 5 BörsG).</li> </ul> </li> </ul>
Bearbeitungsdauer	<p>The processing time of the Securities and Exchange Commission depends on the type and scope of the application submitted.</p>
Frist	<p>After granting the permit, you have one year to build</p>

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	the exchange, otherwise the permit expires.
weiterführende Informationen	
Hinweise	The obligations of the stock exchange holder result from § 5 of the Stock Exchange Act.
Rechtsbehelf	
Kurztext	If you want to build / operate an exchange, you need a permit.
Ansprechpunkt	Please contact the Ministry of Economic Affairs, Science and Digitalization of the State of Saxony-Anhalt.
Zuständige Stelle	
Formulare	The application for permission must be submitted in writing to the Securities and Exchange Commission.
Ursprungsportal	Errichtung einer Börse beantragen, Applying for the establishment of a stock exchange