

99021002001000, 99021002001000

# Exchange - Apply for admission

Heruntergeladen am 10.06.2025

<https://fimportal.de/xzufi-services/393383748/L100008>

Modul	Sachverhalt
Leistungsschlüssel	99021002001000, 99021002001000
Leistungsbezeichnung I	Exchange - Apply for admission
Leistungsbezeichnung II	Exchange - Apply for admission
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	Erteilung (001)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400)
Einheitlicher	

Modul	Sachverhalt
Ansprechpartner	Nein
Fachlich freigegeben am	11.03.2022
Fachlich freigegeben durch	Federal Ministry of Finance (BMF)
Handlungsgrundlage	<a href="https://www.gesetze-im-internet.de/b_rsg_2007/_19.html">https://www.gesetze-im-internet.de/b_rsg_2007/_19.html</a> <a href="https://www.gesetze-im-internet.de/b_rsg_2007/_19.html">https://www.gesetze-im-internet.de/b_rsg_2007/_19.html</a>
Teaser	If a credit or financial services institution wishes to trade directly on an exchange, the institution requires authorisation as a trading participant.
Volltext	<p>In order to participate in trading as a trading participant, credit institutions, financial services institutions and financial companies require a licence. This is done by the stock exchange management.</p> <p>Each trading participant can have an unlimited number of traders. However, a trading participant must have at least one approved trader to meet the participation requirements for trading.</p>
Erforderliche Unterlagen	<ul style="list-style-type: none"> <li>• Proof of personal reliability of the business owner or the person who manages the business or is authorized to represent it               <ul style="list-style-type: none"> <li>• Proof of professional aptitude of the business owner or the person who manages the business or is authorized to represent</li> <li>• Proof of the required equity of the company (the paid-in capital and reserves are to be regarded as equity after deduction of the withdrawals of the holder or the personally liable partners and the loans granted to them as well as a debt overhang in the free assets of the holder)</li> </ul> </li> </ul>
Voraussetzungen	<p>Participation in stock exchange trading may only be granted to those who are commercially traded in exchange-traded items</p> <ul style="list-style-type: none"> <li>• carries out the acquisition and sale for its own account, or</li> <li>• operates the acquisition and sale in its own name for the account of others, or</li> </ul>

## Modul

## Sachverhalt

- takes over the mediation of contracts for the acquisition and sale

and whose commercial enterprise requires a business operation set up in a commercial manner in terms of type and scope.

The admission of a company to participate in stock exchange trading is granted if:

- business owners or persons who are entrusted with the management of the business of the company by law, articles of association or articles of association and who are authorised to represent it,
  - are reliable and
  - at least one of those persons has the professional qualifications necessary for the stock exchange securities or commodities transaction;
- the proper settlement of transactions concluded on the stock exchange is ensured;
- the company proves equity of at least EUR 50,000 (except in the case of credit institutions, financial services institutions or companies operating pursuant to § 53 (1) sentence 1 or § 53b (1) sentence 1 of the German Banking Act (Kreditwesengesetz) which are authorised to conduct the financial commission business within the meaning of § 1 (1) sentence 2 no. 4 or to provide a financial service within the meaning of § 1 (1a) sentence 2 no. 1 to 4 of the Banking Act);
- in the case of the undertaking which is obliged to provide evidence of equity, no facts justify the assumption that, taking into account the proven equity, it does not have the economic capacity necessary for proper participation in stock exchange trading.

## Kosten

## Verfahrensablauf

Admission as a trading participant must be applied for in writing.

## Bearbeitungsdauer

## Frist

Modul	Sachverhalt
weiterführende Informationen	
Hinweise	Any person who wants to trade on an exchange and must be entitled to trade on the stock exchange on behalf of a trading participant requires an admission to the stock exchange trader.
Rechtsbehelf	
Kurztext	<ul style="list-style-type: none"> <li>• Admission to the stock exchange Grant</li> <li>• Companies that want to trade on the stock exchange must be admitted</li> <li>• Business owner or person who conducts business or authorized representative must be personally reliable and professionally suitable</li> <li>• responsible: Stock exchange management</li> </ul>
Ansprechpunkt	Contact the Ministry of Economy, Science and Digitalization.
Zuständige Stelle	
Formulare	
Ursprungsportal	Exchange - Apply for admission, Börse - Zulassung beantragen