

99050091001000, 99050091001000

Apply for a license as a financial investment broker

Heruntergeladen am 10.06.2025

<https://fimportal.de/xzufi-services/223248575/L100012>

Modul	Sachverhalt
Leistungsschlüssel	99050091001000, 99050091001000
Leistungsbezeichnung I	Apply for a license as a financial investment broker
Leistungsbezeichnung II	
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Schleswig-Holstein
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Gewerbe (050)
Verrichtungskennung	Erteilung (001)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Anmeldepflichten (2010100)

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Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	
Fachlich freigegeben durch	
Handlungsgrundlage	https://www.gesetze-im-internet.de/gewo/_34f.html
Teaser	Anyone wishing to broker financial investments or advise on financial investments independently as a trader requires a license.
Volltext	Anyone who brokers financial investments or advises on financial investments independently as a trader requires a license in accordance with Section 34f GewO. In addition to the license, the financial investment broker must be entered in the register of financial investment brokers. The license and entry in the register are issued by the Chamber of Industry and Commerce upon application. Financial investments within the meaning of § 34f GewO are • Share certificates of a capital investment company or investment stock corporation or of foreign investment shares that may be publicly distributed within the scope of the Investment Act; • Shares in closed-end funds in the form of a limited partnership; • other investments within the meaning of Section 1 (2) of the German Investment Act (e.g. shares in other closed-end funds publicly offered in Germany, profit participation rights).
Erforderliche Unterlagen	• Information from the central trade register for submission to an authority (document type 9) • Police clearance certificate for submission to an authority (document type 0) • Certificate of property damage liability insurance (insurance confirmation) • Proof of expertise: • Successful completion of the IHK professional examination or

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- equivalent professional qualification in accordance with § 4 FinVermV or
 - Grandfathering "old hands regulation" (no proof of expertise required for brokers who have worked continuously as financial investment brokers since January 1, 2006; proof by e.g. submission of complete inspection reports in accordance with Section 16 (1) MaBV)
 - Certificate in tax matters from the tax office (original)
 - Clearance certificate from the tax office / municipal treasury (original)
 - Additionally, if the applicant is a legal entity: Extract from the commercial, cooperative or association register or, if the company is in the process of being founded, the articles of association

The IHK will also obtain information on entries in the debtor register and insolvency register at the local court.

Voraussetzungen

Kosten

- Permit: 240,00 €
 - Replacement issue of a permit: € 40.00
 - Rejection decision in the permit procedure: € 120.00
 - Revocation/withdrawal of the permit: € 120.00
 - Permit procedure according to § 157 para. 2 GewO (transfer): € 180.00
 - Entry in the register: € 40.00
 - Amendment of register data outside of the business registration: € 25.00
 - Written information from the register: € 15.00

Verfahrensablauf

Bearbeitungsdauer

Frist

- For holders of the old license § 34c para. 1 sentence 1 no. 2 and 3 GewO (financial investments): Since the entry into force on January 1, 2013, holders of Section 34c para. 1 sentence 1 no. 2 and 3 GewO (financial investments) licenses have six months to apply for the new license in accordance with Section 34f GewO and

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register. After this period, the § 34c para. 1 sentence 1 no. 2 and 3 GewO license expires. This means that the new § 34f GewO permit must be issued by June 30, 2013. Please note: This does not apply to licenses as real estate brokers and/or loan brokers. When applying for the new license and submitting the previous license certificate, there is no check of reliability and orderly financial circumstances. However, the applicant must provide proof of professional liability insurance. The IHKs issue the license and enter the data in a public register. Proof of expertise must be submitted to the relevant licensing authority within 2 years of the new law coming into force, i.e. by January 1, 2015. • For new applications for licenses under Section 34f GewO: none

weiterführende Informationen
Hinweise

Further information can be found on the website of the IHK Schleswig-Holstein.
<https://www.ihk-schleswig-holstein.de/produktmarken/branchen/finanzwirtschaft-versicherungen/finanzanlagenvermittler-honorar-financeanlagenberater-3993424>
<https://www.ihk-schleswig-holstein.de/produktmarken/branchen/finanzwirtschaft-versicherungen/finanzanlagenvermittler-honorar-financeanlagenberater-3993424>

Rechtsbehelf
Kurztext
Ansprechpunkt

To the relevant Chamber of Industry and Commerce in Schleswig-Holstein.

Zuständige Stelle
Formulare

Application forms can be found on the IHK website.
<https://www.ihk-schleswig-holstein.de/bildung/formulare-ausbildung>
<https://www.ihk-schleswig-holstein.de/bildung/formulare-ausbildung>

Ursprungsportal

Apply for a license as a financial investment broker, Erlaubnis als Finanzanlagenvermittler beantragen