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Take the examination of expertise for financial investment intermediaries

Heruntergeladen am 02.07.2025

<https://fimportal.de/xzufi-services/107246151/L100027>

Modul	Sachverhalt
Leistungsschlüssel	99050100022000, 99050100022000
Leistungsbezeichnung I	Take the examination of expertise for financial investment intermediaries
Leistungsbezeichnung II	
Typisierung	2b - Bundesauftragsverwaltung: Regelung, Land: Ausführungsvorschriften, Kommune: Vollzug
Quellredaktion	Mecklenburg-Vorpommern
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	fachlich freigegeben (silber)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Gewerbe (050)
Verrichtungskennung	Bescheinigung (022)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder

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	Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	27.03.2017
Fachlich freigegeben durch	Ministry of Economy, Infrastructure, Tourism and Labor Mecklenburg-Western Pomerania
Handlungsgrundlage	https://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/_1.html https://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/_1.html
Teaser	In order to obtain a license as a fee-based financial investment advisor, you must demonstrate the required expertise.
Volltext	If you wish to broker financial investments on a commercial basis in return for a commission from the issuer, you must prove your expertise in order to obtain the permit. You can do this by taking the examination at the IHK. Depending on the product category, the examination is divided into three areas: • Open financial investments • Closed financial investments • Asset investments The exam consists of a written and a practical part. They must be taken one after the other. In the written part of the exam, you must demonstrate the necessary legal and technical knowledge, for example with regard to consumer rights and technical terms. In the practical part, you must conduct a simulated customer consultation. You do not have to meet any formal requirements to register for the exam, but you should prepare intensively in terms of content to ensure successful

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	participation. The content of the examination for financial investment brokers corresponds to that of the examination for fee-based financial investment advisors. If you have completed vocational training or a degree in banking and finance, this may be recognized in lieu of the expert knowledge examination.
Erforderliche Unterlagen	Official photo ID for identification during the examination
Voraussetzungen	No special requirements
Kosten	Costs are incurred. The exact amount can be found in the fee schedule of the local IHK.
Verfahrensablauf	You can only take part in an examination after prior registration. • The IHK will inform you in good time before the examination about the details of the examination procedure, place and time. • You will first take the written exam • If you have passed the written examination, the practical examination will take place. After successful completion of the examination, you will be issued with a certificate of competence.
Bearbeitungsdauer	You will usually receive the certificate within a few days after passing the exam.
Frist	• Please note the registration deadlines of your local IHK • A proven expertise is valid for life
weiterführende Informationen	• You can find the Chamber of Industry and Commerce responsible for you here: IHK Zuständigkeitsfinder • §4 of the Financial Investment Intermediaries Ordinance lists the qualifications recognized as an alternative to the expert examination: §4 Financial Investment Intermediaries Ordinance • You can find more information about the examination on the website of the DIHK: Overview of expert knowledge examinations of the Chambers of Industry and Commerce

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Hinweise	
Rechtsbehelf	- Contradiction
Kurztext	• Required examination for permission as for financial investment intermediary • Oral and written examination • Exemption from the practical part of the examination possible under certain conditions • Responsible: Chamber of Industry and Commerce (IHK) • Repeat examination possible in case of failure
Ansprechpunkt	
Zuständige Stelle	You can find the Chamber of Industry and Commerce responsible for you here: IHK Jurisdiction Finder
Formulare	• Registration form depending on the requirements of the IHK • Online procedure: no • Written form requirement: no • Personal appearance required: yes, for the examination
Ursprungsportal	Take the examination of expertise for financial investment intermediaries, Sachkundeprüfung für Finanzanlagenvermittler ablegen