

99050091001000, 99050091001000

Apply for a license as a financial investment broker

Heruntergeladen am 10.06.2025

<https://fimportal.de/xzufi-services/207948629/L100038>

Modul	Sachverhalt
Leistungsschlüssel	99050091001000, 99050091001000
Leistungsbezeichnung I	Apply for a license as a financial investment broker
Leistungsbezeichnung II	Apply for a license as a financial investment broker
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Thüringen
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)

Modul	Sachverhalt
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	27.05.2022
Fachlich freigegeben durch	Thuringian Ministry of Economics, Science and Digital Society
Handlungsgrundlage	https://www.gesetze-im-internet.de/gewo/_11a.html https://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/ https://www.gesetze-im-internet.de/vermanlg/_1.html https://www.gesetze-im-internet.de/kredwg/_2.html https://www.gesetze-im-internet.de/kredwg/_1.html https://www.gesetze-im-internet.de/gewo/_11a.html https://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/ https://www.gesetze-im-internet.de/vermanlg/_1.html https://www.gesetze-im-internet.de/kredwg/_2.html https://www.gesetze-im-internet.de/kredwg/_1.html
Teaser	If you want to work as a self-employed financial investment broker, you need a license.
Volltext	<p>As a financial investment broker, you broker certain financial products to customers or advise customers on them, for which you generally receive a commission from the provider of the financial product. As a financial investment broker, you are restricted to certain financial products and activities by a so-called exemption from the German Banking Act. The license covers (optionally) three product categories:</p> <ul style="list-style-type: none"> • Units or shares in domestic open-ended investment funds, open-ended EU investment funds or foreign open-ended investment funds that are distributed in accordance with the German Investment Code are permitted • Units or shares in domestic closed-end investment funds, investment funds, closed-end EU investment funds or foreign closed-end investment funds, closed-end investment funds that may be distributed in accordance with the Investment Code may be distributed • Investments

Modul

Sachverhalt

Permission may be granted to a natural person or a legal entity. Partnerships such as the civil law partnership (GbR), the general partnership (OHG) or the limited partnership (KG) cannot be granted permission. In these cases, each managing partner must apply for their own permit.

In addition to obtaining a license, you must also be entered in the register of intermediaries immediately after commencing your activities.

Your license may be restricted in terms of content or subject to conditions if this is necessary to protect the general public or investors.

You cannot work as a fee-based financial investment advisor at the same time.

Erforderliche Unterlagen

- Proof of personal reliability (e.g. Certificate of good conduct for submission to an authority, information from the central trade register, certificate in tax matters from the tax office)
- Proof of orderly financial circumstances (e.g. e.g. information from the debtor register of the central enforcement court and information from the insolvency court)
- Proof of professional liability insurance
- Proof of expertise (e.g. certificate of passed IHK examination or certificate of an equivalent professional qualification) (see further information)
- Extract from the commercial register for legal entities and commercial partnerships

****Note** :**

You can find out which documents are required in your specific case on the application form from the competent authority.

Voraussetzungen

- You must be personally reliable. This means, for

Modul	Sachverhalt
	<p>example, that you have not been convicted of a crime or theft, embezzlement, extortion, fraud, breach of trust, money laundering, forgery, receiving stolen goods, usury or an insolvency offense in the five years prior to submitting the application.</p> <ul style="list-style-type: none"> • This also applies to persons who are entrusted with the management of the company or a branch office. • They must have orderly financial circumstances. This means, for example, that no insolvency proceedings have been opened against your assets or that you are not entered in the debtor register of the central enforcement court. • You must have professional liability insurance. • You must be knowledgeable, e.g. be a "Certified Financial Investment Specialist IHK" or have an equivalent professional qualification.
Kosten	Fees apply. The exact amount can be found in the fee schedule of the local licensing authority or registry.
Verfahrensablauf	<p>In order to obtain a license as a financial investment broker, you must submit a corresponding application together with the necessary documents to your authority.</p> <ul style="list-style-type: none"> • At the same time as your application, you can also apply for entry in the register of intermediaries. • The competent authority will check whether you meet the requirements based on the information you provide and the documents you submit. • If you meet all the licensing requirements, you will receive the license.
Bearbeitungsdauer	Once all documents have been submitted, the application will be processed. This may take several weeks.
Frist	The permit is valid indefinitely.
weiterführende Informationen	<p>Here you will find an overview of the professional qualifications that are equivalent to the certificate of competence examination:</p> <p>https://www.gesetze-im-internet.de/finvermv/_5.html https://www.gesetze-im-internet.de/finvermv/_5.html</p>
Hinweise	If you employ staff who are directly involved in

Modul	Sachverhalt
	investment advice or brokerage, you must ensure their reliability and expertise and also have them entered in the register of intermediaries.
Rechtsbehelf	<p>You can appeal against the decision on your application for a permit.</p> <p>Which legal remedies can be lodged (objection or appeal to the administrative court) varies depending on the federal state. Detailed information on admissible legal remedies can be found in the information on legal remedies in the decision on your permit application.</p>
Kurztext	<ul style="list-style-type: none"> • Permission to act as a financial investment broker • Applying for a license to act as a professional financial investment broker • Permission can be granted to a natural or legal person. • An application for entry in the publicly accessible register of intermediaries is also required upon commencement of the activity. • Permission is granted under the following conditions <ul style="list-style-type: none"> Reliability, orderly financial circumstances, professional liability insurance, expertise • Permit valid nationwide for an unlimited period • Responsible for the license: Chamber of Industry and Commerce (IHK)
Ansprechpunkt	
Zuständige Stelle	The local Chamber of Industry and Commerce is responsible.
Formulare	<ul style="list-style-type: none"> • Application form: Application form of the competent licensing authority for natural or legal person • Written form required: no • Personal appearance required: no
Ursprungsportal	Erlaubnis als Finanzanlagenvermittler beantragen, Apply for a license as a financial investment broker