

99050094169000

Foreign financial investment intermediaries and financial investment advisors activity show

Heruntergeladen am 20.07.2025

<https://fimportal.de/xzufi-services/214196964/L100038>

Modul	Sachverhalt
Leistungsschlüssel	99050094169000
Leistungsbezeichnung I	Foreign financial investment intermediaries and financial investment advisors activity show
Leistungsbezeichnung II	
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	Anzeige (169)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder

Modul	Sachverhalt
	Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400), Anmeldepflichten (2010100)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	07.02.2023
Fachlich freigegeben durch	Thuringian Ministry for Economy, Science and Digital Society
Handlungsgrundlage	http://www.gesetze-im-internet.de/gewo/_13a.html http://www.gesetze-im-internet.de/gewo/_13b.html http://www.gesetze-im-internet.de/gewo/_13c.html http://www.gesetze-im-internet.de/finvermv/index.htm http://www.gesetze-im-internet.de/gewo/_13a.html http://www.gesetze-im-internet.de/gewo/_13b.html http://www.gesetze-im-internet.de/gewo/_13c.html http://www.gesetze-im-internet.de/finvermv/index.htm
Teaser	If you wish to work temporarily as a foreign financial investment intermediary and advisor in Germany, you must notify the competent authority.
Volltext	As a financial investment broker and advisor, you need a permit in Germany. If you wish to act as a financial investment intermediary on a self-employed basis only on a temporary basis, prior written notification to the competent authority is sufficient. However, this only applies to EU or EEA citizens.
Erforderliche Unterlagen	<ul style="list-style-type: none"> • Proof of citizenship (e.g. by identity card or passport). • Proof of legal establishment to carry out the financial investment brokerage activities in a member state of the EU or a contracting state of the Agreement on the European Economic Area • Proof that the exercise of these activities is not prohibited, even temporarily • Proof that there are no previous convictions • Documents from the country of establishment proving personal reliability to practice the financial

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	<p>investment intermediary trade,</p> <ul style="list-style-type: none"> • proof of your professional qualifications, if the activity of financial investment intermediary is also subject to the possession of certain professional qualifications in the country of establishment, • otherwise, proof that you have practiced a financial investment intermediary profession in the state of establishment for at least two years during the previous ten years, • proof of insurance coverage or other type of individual or collective protection related to professional liability. <p>If you are a trader from a member state of the EU or an EEA member state, you may use documents from your country of origin proving that you meet the requirements of reliability and orderly financial circumstances of a trader.</p>
Voraussetzungen	<ul style="list-style-type: none"> • You are a citizen of a member state of the EU or a contracting state of the Agreement on the European Economic Area. • You maintain a legal establishment for the practice of financial investment brokerage in one of these states
Kosten	Fees are incurred. These are derived from the fee tariff of the competent office and are determined by the latter. Please contact the responsible office.
Verfahrensablauf	The granting of the permit is automatically entered in the Register of Intermediaries. After you have received the permit, you must register your trade before starting your activity.
Bearbeitungsdauer	
Frist	
weiterführende Informationen	
Hinweise	The permit is valid throughout Germany. It may be limited to one or more categories. Under certain conditions, the competent body may revoke a permit.
Rechtsbehelf	

Modul

Sachverhalt

Kurztext

- Foreign financial investment intermediary and financial investment advisor advertisement
- In order to be allowed to work as a financial investment intermediary and financial investment advisor in Germany, a permit is required. For the temporary exercise of the activity as a financial investment intermediary, a prior written notification to the competent authority is sufficient. However, this only applies to EU or EEA citizens.
- Required documents: Proof of citizenship (e.g. by identity card or passport). Proof of legal establishment to carry out the financial investment intermediary activities in a member state of the EU or a contracting state of the Agreement on the European Economic Area Proof that the exercise of these activities is not prohibited, even temporarily Proof that there are no previous convictions Documents from the country of establishment proving personal reliability to practice the financial investment intermediary trade, proof of your professional qualifications, if the activity of financial investment intermediary is also subject to the possession of certain professional qualifications in the country of establishment, otherwise, proof that you have practiced a financial investment intermediary profession in the state of establishment for at least two years during the previous ten years, proof of insurance coverage or other type of individual or collective protection in relation to professional liability.
- Fees apply.

Ansprechpunkt

Zuständige Stelle

Formulare

Ursprungsportal

Ausländische Finanzanlagenvermittler und Finanzanlagenberater Tätigkeit anzeigen, Foreign financial investment intermediaries and financial investment advisors activity show