

99050100007000, 99050100007000

Take the examination for financial investment brokers

Heruntergeladen am 05.07.2025

<https://fimportal.de/xzufi-services/219151771/L100038>

Modul	Sachverhalt
Leistungsschlüssel	99050100007000, 99050100007000
Leistungsbezeichnung I	Take the examination for financial investment brokers
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	Zulassung (007)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Aus-, Weiterbildung und Sachkunde (2030300),

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	Befähigungs- und Sachkundenachweise (2010200), Prüfung und Nachweise für Sachkunde und Sicherheit (2120300)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	16.01.2024
Fachlich freigegeben durch	
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/finvermv/_4.html https://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/_1.html https://www.gesetze-im-internet.de/finvermv/_4.html
Teaser	In order to obtain a license as a financial investment broker, you must provide proof of the required expertise.
Volltext	If you wish to broker financial investments or provide investment advice on a commercial basis, you must provide proof of your expertise in order to obtain a license. You can provide this proof by taking a corresponding examination at the IHK. Depending on the product category, the examination is divided into three areas: • Open financial investments • Closed-end financial investments • Investments The examination 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 for the content in order to take it successfully.

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	The content of the examination for financial investment brokers corresponds to the examination for fee-based financial investment advisors. If you have completed vocational training or have a degree in banking and finance, this may be recognized instead of the 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 examination • If you pass the written exam, you will take the practical exam • You will receive a certificate after successfully passing the exam
Bearbeitungsdauer	You will regularly receive the certificate within a few days of passing the exam.
Frist	• Please note the registration deadlines of your local IHK • The passed examination is valid for life
weiterführende Informationen	The Financial Investment Brokerage Ordinance (FinVermV) lists the professional qualifications that are equivalent to the expert examination. This list is exhaustive. You can find further information on the examination of expertise on the page of the DIHK: https://www.dihk.de/de/themen-und-positionen/wirtschaftspolitik/gruendung-und-nachfolge-unternehmensfinanzierung/sach-und-fachkundepruefungen-im-ueberblick-11732

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Hinweise	
Rechtsbehelf	• Appeal, if provided for by state law. Detailed information on the objection procedure can be found in the notification. • Action before the administrative court
Kurztext	• Examination of expertise for financial investment broker license • Examination required for authorization as a financial investment broker • Written and practical examination • Exemption from the practical part of the examination possible under certain conditions • Repeat examination possible if failed • Responsible: Chamber of Industry and Commerce (IHK)
Ansprechpunkt	
Zuständige Stelle	You can find the Chamber of Industry and Commerce responsible for you here: https://www.ihk.de/?fdialog=ihk-finder%2F%2F https://www.ihk.de/?fdialog=ihk-finder%2F%2F
Formulare	• Registration form according to IHK specifications • Online procedure: no • Written form requirement: no • Personal appearance required: yes, for the examination
Ursprungsportal	Take the examination for financial investment brokers, Sachkundeprüfung für Finanzanlagenvermittler ablegen