

99021004001000, 99021004001000

Securities - Application for Admission to the Regulated Market

Heruntergeladen am 10.06.2025

<https://fimportal.de/xzufi-services/231862547/L100039>

| Modul | Sachverhalt |
|---------------------------|---|
| Leistungsschlüssel | 99021004001000, 99021004001000 |
| Leistungsbezeichnung I | Securities - Application for Admission to the Regulated Market |
| Leistungsbezeichnung II | Securities - Application for Admission to the Regulated Market |
| Typisierung | 2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug |
| Quellredaktion | Rheinland-Pfalz |
| Freigabestatus Katalog | fachlich freigegeben (gold) |
| Freigabestatus Bibliothek | fachlich freigegeben (gold) |
| Begriffe im Kontext | |
| Leistungstyp | Leistungsobjekt mit Verrichtung |
| Leistungsgruppierung | Börsenangelegenheiten (021) |
| Verrichtungskennung | Erteilung (001) |
| SDG-Informationsbereich | Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und |

| Modul | Sachverhalt |
|-------------------------------|--|
| | Führung eines Unternehmens |
| Lagen Portalverbund | Erlaubnisse und Genehmigungen (2010400) |
| Einheitlicher Ansprechpartner | Nein |
| Fachlich freigegeben am | 05.09.2023 |
| Fachlich freigegeben durch | Ministry of Economic Affairs, Transport, Agriculture and Viticulture Rhineland-Palatinate |
| Handlungsgrundlage | https://www.gesetze-im-internet.de/b_rsg_2007/_32.html https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32017R1129 |
| Teaser | Securities that you wish to place on the stock exchange for trading on the regulated market must have been admitted beforehand. |
| Volltext | If you want to have securities traded on the regulated market of a stock exchange, you need an admission by the management for this purpose. Unless the securities are already admitted by law. |
| Erforderliche Unterlagen | <ul style="list-style-type: none"> • Certificate of approval by the Federal Financial Supervisory Authority (BaFin) or the competent authorities of other member states of the European Economic Area (EEA) <ul style="list-style-type: none"> • Copy of the global certificate or global certificate for securities • Articles of association or partnership agreement in the currently valid version • certified excerpt from the commercial register in the latest version • instruments of approval, if <ul style="list-style-type: none"> • the establishment of the issuer • the exercise of its business activities or • the issue of the securities requires state approval • evidence of the legal basis for the issue of securities • annual financial statements and the management reports for the last 3 financial years, including the auditors' reports |
| Voraussetzungen | <ul style="list-style-type: none"> • As a company wishing to issue a security, you must submit the application for admission to the Exchange |

Modul

Sachverhalt

together with

- a credit institution,
- a financial services institution,
- a securities institution,
- the branch of a foreign company in Germany that conducts banking business or provides financial services, or
- the German branch of a CRR credit institution domiciled in another EEA state.
- As the applying company, you must submit a prospectus approved by the Federal Financial Supervisory Authority or a notified prospectus. You must publish this prospectus before the security is listed on the stock exchange.
- Your company must have been in existence for at least 3 years and you must have published annual financial statements for the 3 financial years preceding the application.
- The securities must - depending on their class - have certain minimum amounts with regard to
 - expected market value,
 - equity capital,
 - total nominal amount or
 - number of units.
- The securities must be freely tradable.
- The denomination of the securities, in particular the smallest denomination and the number of securities issued in that denomination, must take account of the needs of exchange trading and the public.
- Shares to be admitted to trading must be sufficiently widely spread.

Kosten

Verfahrensablauf

Bearbeitungsdauer

Frist

weiterführende Informationen

Hinweise

Rechtsbehelf

Modul

Sachverhalt

Kurztext

- Admission of securities to trading on the stock exchange Issuance
 - Securities to be traded on the regulated market must be admitted beforehand
 - Exception: security has already been admitted by law
 - Application must be submitted together with the financial institution involved
 - Among other things, a prospectus approved by the Federal Financial Supervisory Authority (BaFin) or a notified prospectus must be attached to the application
 - Prospectus must be published in advance at the expense of the applying company
 - responsible: Stock Exchange Management

Ansprechpunkt

Zuständige Stelle

Formulare

Ursprungsportal

Wertpapiere – Zulassung zum regulierten Markt beantragen, Securities - Application for Admission to the Regulated Market