

99050091001000, 99050091001000

Brokerage and advice on financial investments Authorisation

Heruntergeladen am 13.06.2025

<https://fimportal.de/xzufi-services/308732588/L100040>

| Modul | Sachverhalt |
|---------------------------|---|
| Leistungsschlüssel | 99050091001000, 99050091001000 |
| Leistungsbezeichnung I | Brokerage and advice on financial investments Authorisation |
| Leistungsbezeichnung II | |
| Typisierung | 2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug |
| Quellredaktion | Niedersachsen |
| Freigabestatus Katalog | unbestimmter Freigabestatus |
| Freigabestatus Bibliothek | unbestimmter Freigabestatus |
| Begriffe im Kontext | |
| Leistungstyp | Leistungsobjekt mit Verrichtung |
| Leistungsgruppierung | Gewerbe (050) |
| Verrichtungskennung | Erlaubnis (005) |
| SDG-Informationsbereich | Gründung, Führung und Schließung eines Unternehmens |
| Lagen Portalverbund | Anmeldepflichten (2010100), Erlaubnisse und |

| Modul | Sachverhalt |
|-------------------------------|---|
| | Genehmigungen (2010400) |
| Einheitlicher Ansprechpartner | Nein |
| Fachlich freigegeben am | 24.02.2021 |
| Fachlich freigegeben durch | Lower Saxony Ministry of Economic Affairs, Labour, Transport and Digitalisation |
| Handlungsgrundlage | http://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/ http://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/ |
| Teaser | |
| Volltext | <ul style="list-style-type: none"> • If you want to work as a financial investment broker or financial investment advisor, you need a licence <ul style="list-style-type: none"> • Authorisation may be granted to a natural or legal person • Responsible: depending on the federal state, the Chamber of Industry and Commerce, trade authorities or districts / independent cities |
| Erforderliche Unterlagen | <ul style="list-style-type: none"> • Proof of personal reliability: <ul style="list-style-type: none"> • Certificate of good conduct and information from the Central Trade Register • Proof of ordered assets: <ul style="list-style-type: none"> • Information from the insolvency court as to whether the proceedings have been opened (so-called negative certificate) • Extract from the list of debtors of the Central Enforcement Court • Proof of an existing financial loss liability insurance (certificate in sample wording) • Certificate of competence (Chamber of Industry and Commerce) certificate of proficiency or proof of equivalent professional qualification, see also further information) • In the case of legal entities and commercial partnerships: extract from the commercial register from the country in which the company's main registered office is located • If necessary. Translation of the (foreign-language) excerpt from the commercial register |

| Modul | Sachverhalt |
|------------------------------|--|
| Voraussetzungen | <ul style="list-style-type: none"> • Thereliability required for the business, i.e. You have not been convicted of fraud or other crimes in the last 5 years • orderly assetrelations, i.e. You are not in personal insolvency or are registered in the register of debtors • Professional indemnity insurance with a minimum coverage of 1,130,000.00 euros foreach insured event and 1,700,000.00 euros forall insurance casesin a total year. • Expertise through a passed IHK examor equivalent training qualificationsand possiblycorresponding professional experience |
| Kosten | Gebühr: 325€ - 365€ |
| Verfahrensablauf | <p>You send the application for permission with all supporting documents to the relevantauthority.</p> <ul style="list-style-type: none"> • On the basis of your information and documents, the authoritywill check whether the legal requirements for granting a licence have been met • If you meet the requirements, you will receive permission in writing by mail <p>If you have not already applied for entry in the register of intermediaries together with the licence, you muststill be entered in the register of intermediaries before youtake action.</p> |
| Bearbeitungsdauer | As soon as all documentsare complete, the processing takes place within several weeks. |
| Frist | None |
| weiterführende Informationen | |
| Hinweise | Intermediaries within the meaning of Section 2 (1) No. 10 of the German Banking Act (KWG) are exempt from the authorisation requirement. They are entered in a publicregister maintained by the Federal Financial Supervisory Authority (BaFin). |
| Rechtsbehelf | If the addressee (usually the applicant) has legal |

| Modul | Sachverhalt |
|-------------------|--|
| | <p>doubts or concerns about the decision on the permit or the details of it, these can be reviewed by way of an action for commitment or rescission before the competent administrative court, depending on their legal nature.</p> <p>In Lower Saxony, a preliminary procedure is not provided for by § 80 of the Lower Saxony Justice Act. Therefore, no objection is admissible, but rather an administrative court action must be brought directly.</p> |
| Kurztext | If you want to work commercially as a financial investment broker or financial investment advisor, you need a permit |
| Ansprechpunkt | <p>The responsibility lies with the Chamber of Industry and Commerce (IHK), in whose territory the business is located.</p> <p>This procedure can also be carried out through a "Point of Single Contact". The "Point of Single Contact" is a special service offered by the municipalities and the state for service providers. https://service.niedersachsen.de/dlp/ea https://service.niedersachsen.de/dlp/ea</p> |
| Zuständige Stelle | The chambers are responsible. |
| Formulare | <ul style="list-style-type: none"> • Forms: Application for a licence as a financial investment intermediary (use is recommended) <ul style="list-style-type: none"> • Online procedure possible if necessary • Written form required: no • Personal appearance required: no |
| Ursprungsportal | Brokerage and advice on financial investments Authorisation, Vermittlung und Beratung von Finanzanlagen Erlaubnis |