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Take the examination for financial investment brokers

Heruntergeladen am 02.07.2025

<https://fimportal.de/xzufi-services/308773977/L100040>

Modul	Sachverhalt
Leistungsschlüssel	99050100022000, 99050100022000
Leistungsbezeichnung I	Take the examination for financial investment brokers
Leistungsbezeichnung II	Take the examination for financial investment brokers
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Niedersachsen
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	fachlich freigegeben (silber)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Gewerbe (050)
Verrichtungskennung	Bescheinigung (022)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Prüfung und Nachweise für Sachkunde und Sicherheit

Modul	Sachverhalt
	(2120300), Aus-, Weiterbildung und Sachkunde (2030300), Befähigungs- und Sachkundenachweise (2010200)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	22.10.2020
Fachlich freigegeben durch	Association of German Chambers of Commerce and Industry
Handlungsgrundlage	https://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/_1.html
Teaser	In order to obtain a license as a fee-based financial investment advisor, you must provide proof of the required expertise.
Volltext	If you wish to broker financial investments commercially in return for commission from the issuer, you must provide proof of your expertise in order to obtain a license. You can do this by taking an examination at the IHK. Depending on the product category, the examination is divided into three areas: • Open financial investments • Closed-end financial investments • Asset 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 carry out 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. The content of the examination for financial

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	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 expert knowledge 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 After successfully passing the exam, you will receive a certificate of competence
Bearbeitungsdauer	You will normally receive the certificate within a few days of passing the exam.
Frist	• Please note the registration deadlines of your local IHK • Proven expertise is valid for life
weiterführende Informationen	• You can find the Chamber of Industry and Commerce responsible for you here: IHK competence finder • §Section 4 of the Financial Investment Intermediaries Ordinance lists the qualifications recognized as an alternative to the expert examination: Section 4 Financial Investment Intermediaries Ordinance • You can find further information on the examination of expertise on the DIHK website: Overview of professional examinations of the Chambers of Industry and Commerce
Hinweise	
Rechtsbehelf	- Contradiction

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Kurztext	• Examination required for a license as a financial investment broker • Oral and written examination • Exemption from the practical part of the examination possible under certain conditions • Responsible: Chamber of Industry and Commerce (IHK) • Repeat examination possible if failed
Ansprechpunkt	
Zuständige Stelle	
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