

99021001005000, 99021001005000

Apply for permission to establish a stock exchange

Heruntergeladen am 15.06.2025

<https://fimportal.de/xzufi-services/418539075/L100040>

Modul	Sachverhalt
Leistungsschlüssel	99021001005000, 99021001005000
Leistungsbezeichnung I	Apply for permission to establish a stock exchange
Leistungsbezeichnung II	Apply for permission to establish a stock exchange
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	Börsenangelegenheiten (021)
Verrichtungskennung	Erlaubnis (005)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Anmeldepflichten (2010100), Erlaubnisse und

Modul	Sachverhalt
	Genehmigungen (2010400)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	03.12.2020
Fachlich freigegeben durch	Hessian Ministry of Economic Affairs, Energy, Transport and Housing
Handlungsgrundlage	https://www.gesetze-im-internet.de/b_rsg_2007/index.html#BJNR135100007BJNE000503123
Teaser	The Exchange Supervisory Authority may allow you to establish an exchange upon application.
Volltext	<p>The Exchange Supervisory Authority may allow you to establish an exchange upon application. To do so, you must meet various requirements and provide evidence of these. The permission to establish an exchange is limited to the federal state in which you plan to operate the exchange.</p> <p>The regulations of the Stock Exchange Act (BörsG) must be observed.</p>
Erforderliche Unterlagen	<ul style="list-style-type: none"> • Proof of the funds required for the operation of the exchange pursuant to Article 5 (5) of the Exchange Act; • The names of the managing director(s) of the operating institution of the exchange as well as information required for the assessment of the reliability and professional suitability of these persons; • A business plan indicating the type of planned transactions and the organizational structure and planned internal control procedures of the Exchange operating entity, as well as the Exchange's rules and regulations; • Information on the ownership structure of the exchange operating company, in particular on the owners of significant shareholdings within the meaning of Article 6 (6) of the Stock Exchange Act and the size of their shareholdings; • information necessary for the assessment of the reliability of the holder of significant shareholdings. <p>If the holder of a significant participation is a legal entity or a commercial partnership, the facts essential</p>

Modul	Sachverhalt
	<p>for the assessment of the reliability of its legal or statutory representatives or personally liable partners shall be disclosed.</p> <p>The Exchange Supervisory Authority may request the submission of further documents.</p>
Voraussetzungen	<p>The application for the granting of a license must be submitted in writing to the Exchange Supervisory Authority. The requirements can be found in the Stock Exchange Act (BörsG).</p> <p>The Exchange Supervisory Authority may require further information for the examination.</p>
Kosten	<ul style="list-style-type: none"> • fixed costs • cost framework (range) <p>according to the respective state administrative cost regulations</p>
Verfahrensablauf	<ul style="list-style-type: none"> • They submit the required documents to the exchange supervisory authority. <ul style="list-style-type: none"> • The competent exchange supervisory authority is the authority in the country in whose territory the exchange is to be located. • The exchange supervisory authority shall examine whether the requirements for the admission to listing have been met. Additional information may be required, if necessary. • Permission or refusal of the Exchange Supervisory Authority shall be made in writing by mail. • A permission expires if the Exchange does not start its operation within one year. • The Exchange Supervisory Authority may subsequently impose conditions on a license or cancel it (Article 4 paragraph 5 BörsG).
Bearbeitungsdauer	<p>The processing time of the Exchange Supervisory Authority depends on the type and scope of the application submitted.</p>

Modul	Sachverhalt
Frist	After the permit is issued, you have one year to set up the exchange, otherwise the permit expires.
weiterführende Informationen	
Hinweise	The obligations of the exchange operating company result from § 5 of the Stock Exchange Act.
Rechtsbehelf	
Kurztext	Anyone wishing to establish / operate a stock exchange requires a permit.
Ansprechpunkt	
Zuständige Stelle	Securities and Exchange Commission Lower Saxony Ministry of Economic Affairs, Labour, Transport and Digitalisation
Formulare	The application for the permit shall be submitted in writing to the Exchange Supervisory Authority.
Ursprungsportal	Apply for permission to establish a stock exchange, Erlaubnis zur Errichtung einer Börse beantragen