

99021004001000

Heruntergeladen am 10.06.2025

<https://fimportal.de/xzufi-services/107135/L100042>

Modul	Sachverhalt
Leistungsschlüssel	99021004001000
Leistungsbezeichnung I	
Leistungsbezeichnung II	Stock exchange trading; application for admission of securities
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Bayern
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	
Leistungsgruppierung	
Verrichtungskennung	
SDG-Informationsbereich	
Lagen Portalverbund	
Einheitlicher Ansprechpartner	

Modul	Sachverhalt
Fachlich freigegeben am	26.09.2024
Fachlich freigegeben durch	Bundesministerium der Finanzen
Handlungsgrundlage	https://www.gesetze-im-internet.de/b_rsg_2007/_32.html https://www.gesetze-im-internet.de/b_rsg_2007/_32.html https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX:32017R1129 https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX:32017R1129
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 wish to have securities traded on the regulated market of a stock exchange, you require admission by the management. Unless the securities are already admitted by law.
Erforderliche Unterlagen	• Required Documents • Certificate of approval by the Federal Financial Supervisory Authority (BaFin) or the competent authorities of other member states of the European Economic Area (EEA) • 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 • 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	• As a company wishing to issue a security, you must submit an application for admission to the stock

Modul
Sachverhalt

exchange 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 member state.

• As an applicant company, you must submit a prospectus approved or notified by the German Federal Financial Supervisory Authority (BaFin). You must publish this prospectus before listing the security 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.

• Depending on their class, the securities must meet certain minimum requirements with regard to

- expected market value,
- equity capital,
- total nominal value 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 this denomination, must take into account the needs of stock exchange trading and the public.

• Shares to be admitted must be sufficiently diversified.

Kosten
Verfahrensablauf
Bearbeitungsdauer
Frist
weiterführende Informationen

<https://www.boerse-muenchen.de/boersenplatz#08d9bdec81ca48a789cef12d46903d10>
<https://www.boerse-muenchen.de/boersenplatz#08d9bdec81ca48a789cef12d46903d10>

Hinweise

Modul	Sachverhalt
Rechtsbehelf	
Kurztext	
Ansprechpunkt	
Zuständige Stelle	
Formulare	
Ursprungsportal	BayernPortal, BayernPortal