

99050151007000

Heruntergeladen am 04.07.2025

<https://fimportal.de/xzufi-services/74626/L100042>

Modul	Sachverhalt
Leistungsschlüssel	99050151007000
Leistungsbezeichnung I	
Leistungsbezeichnung II	Fee-based financial investment advisor; registration for the expert examination
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	08.01.2025
Fachlich freigegeben durch	Deutscher Industrie- und Handelskammertag e.V.
Handlungsgrundlage	http://www.gesetze-im-internet.de/gewo/_34h.html http://www.gesetze-im-internet.de/gewo/_34h.html http://www.gesetze-im-internet.de/finvermv/_1.html http://www.gesetze-im-internet.de/finvermv/_1.html
Teaser	In order to obtain a license to work as a fee-based financial investment advisor, you must provide proof of the required expertise.
Volltext	If you wish to broker financial investments on a commercial basis in return for a fee from the client, you must provide proof of your expertise in order to obtain a license. You can do this by taking the Chamber of Industry and Commerce (IHK) examination. Depending on the product category, the examination is divided into three areas: • Open-ended financial investments • Closed-end financial investments • Asset investments The exam 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 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

Modul	Sachverhalt
	instead of the examination.
Erforderliche Unterlagen	
Voraussetzungen	
Kosten	Costs are incurred. The exact amount can be found in the IHK fee schedule.
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 confirming your expertise.
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	https://apps.ihk.de/ihk-finder-standalone/?pageTopic=/ https://apps.ihk.de/ihk-finder-standalone/?pageTopic=/ https://www.gesetze-im-internet.de/versvermv_2018/_5.html https://www.gesetze-im-internet.de/versvermv_2018/_5.html https://www.dihk.de/de/themen-und-positionen/wirtschaftspolitik/gruendung-und-nachfolge-unternehmensfinanzierung/sach-und-fachkundepruefungen-im-ueberblick-11732 https://www.dihk.de/de/themen-und-positionen/wirtschaftspolitik/gruendung-und-nachfolge-unternehmensfinanzierung/sach-und-fachkundepruefungen-im-ueberblick-11732
Hinweise	
Rechtsbehelf	
Kurztext	

Modul	Sachverhalt
Ansprechpunkt	
Zuständige Stelle	
Formulare	
Ursprungsportal	BayernPortal, BayernPortal