

99050100022000

Heruntergeladen am 05.07.2025

<https://fimportal.de/xzufi-services/74627/L100042>

Modul	Sachverhalt
Leistungsschlüssel	99050100022000
Leistungsbezeichnung I	
Leistungsbezeichnung II	Financial investment intermediary; 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	28.08.2023
Fachlich freigegeben durch	Deutscher Industrie- und Handelskammertag e.V.
Handlungsgrundlage	https://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/gewo/_34f.html https://www.gesetze-im-internet.de/finvermv/_1.html https://www.gesetze-im-internet.de/finvermv/_1.html
Teaser	In order to obtain a licence as a fee-based financial investment adviser, you must provide evidence of the required expertise.
Volltext	If you wish to broker financial investments on a commercial basis in return for a commission from the issuer, you must prove your expertise in order to obtain the permit. You can do this by taking the examination at the IHK. Depending on the product category, the examination is divided into three areas: • Open financial investments • Closed 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 examination, you must demonstrate the necessary legal and technical knowledge, for example with regard to consumer rights and technical terms. In the practical part you have to conduct a simulated customer advisory discussion. You do not have to fulfil any formal requirements in order to register for the examination, but you should prepare yourself intensively in terms of content in order to participate successfully. The content of the examination for financial investment brokers corresponds to that of the examination for fee-based financial investment advisors. If you have completed vocational training or a degree in banking and finance, this may be recognised in lieu of the examination.

Modul	Sachverhalt
Erforderliche Unterlagen	• Required document/s Official photo ID for identification during the examination
Voraussetzungen	Keine besonderen Voraussetzungen
Kosten	Costs will be 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 first take the written examination • If you have passed the written examination, the practical examination takes place. After successful completion of the examination, you will be issued with 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	https://www.ihk.de/?fdialog=ihk-finder// https://www.ihk.de/?fdialog=ihk-finder// 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	- discrepancy

Modul	Sachverhalt
Kurztext	
Ansprechpunkt	
Zuständige Stelle	
Formulare	
Ursprungsportal	BayernPortal, BayernPortal