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Competence test for financial investment brokers certificate

Heruntergeladen am 02.07.2025

<https://fimportal.de/xzufi-services/S1000020010000011587/S100002>

Modul	Sachverhalt
Leistungsschlüssel	99050100022000
Leistungsbezeichnung I	Competence test for financial investment brokers certificate
Leistungsbezeichnung II	Pass the specialist examination for financial investment brokers
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Hamburg
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	<div lang="en-x-mtfrom-de">closed funds</div> , <div lang="en-x-mtfrom-de">Investment</div> , <div lang="en-x-mtfrom-de">Sell financial assets</div> , <div lang="en-x-mtfrom-de">Capital investments</div> , <div lang="en-x-mtfrom-de">Broker capital investments</div> , <div lang="en-x-mtfrom-de">Open funds</div>
Leistungstyp	

Modul	Sachverhalt
Leistungsgruppierung	
Verrichtungskennung	
SDG-Informationsbereich	
Lagen Portalverbund	
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	30.11.2021
Fachlich freigegeben durch	
Handlungsgrundlage	§ 34f Paragraph 2 No. 4 Industrial Code (GewO) § 1 Financial Investment Mediation Ordinance (FinVermV)
Teaser	In order to obtain permission as a fee-based financial investment advisor, you must provide evidence of the required expertise.
Volltext	If you want to broker financial investments on a commercial basis for a commission from the issuer, you must provide evidence of your expertise in order to obtain permission. You can do this by taking the exam at the IHK. Depending on the product category, the test is divided into three areas: Open financial investments Closed financial investments investment The exam consists of a written and a practical part. They must be placed 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 have to carry out a simulated customer consultation. You do not have to meet any formal requirements in order to register for the exam, but you should prepare yourself intensively in terms of content for successful participation. The content of the proficiency test for financial investment brokers corresponds to that of the proficiency test for fee-based financial investment advisors. If you have completed vocational training or a degree in banking and finance, this may be recognized instead of the proficiency test

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Erforderliche Unterlagen	Official photo ID for identification during the exam
Voraussetzungen	No special requirements
Kosten	There will be charges. Please call to inquire about the fee.
Verfahrensablauf	You can only take part in an exam after registering in advance. The Chamber of Industry and Commerce will inform you in good time before the exam about the details of the exam procedure, place and time First you take the written exam If you have passed the written test, you will take the practical test After a successful examination, you will receive a certificate of your expertise
Bearbeitungsdauer	You will normally receive the certificate within a few days of passing the exam.
Frist	Please note the registration deadlines of the Hamburg Chamber of Commerce. Proven expertise is valid for life
weiterführende Informationen	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/ https://www.gesetze-im-internet.de/finvermv/ https://www.ihk.de/ https://www.ihk.de/ 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	no
Rechtsbehelf	contradiction
Kurztext	Competence test for financial investment brokers certificate Required exam for license as a financial investment broker Oral and written exam Exemption from the practical part of the examination is possible

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	under certain conditions If you fail, you can repeat the exam Responsible: Chamber of Industry and Commerce (IHK)
Ansprechpunkt	
Zuständige Stelle	Authority for Economy and Innovation
Formulare	
Ursprungsportal	Behördenfinder Hamburg, Authority finder Hamburg (Currently this link is only available in german)