

99021004001000

# Admission of securities to stock exchange trading Grant

Heruntergeladen am 13.06.2025

<https://fimportal.de/xzufi-services/S1000020010000012441/S100002>

Modul	Sachverhalt
Leistungsschlüssel	99021004001000
Leistungsbezeichnung I	Admission of securities to stock exchange trading Grant
Leistungsbezeichnung II	Apply for admission of securities to the Regulated Market
Typisierung	2 - Bundesauftragsverwaltung: Regelung
Quellredaktion	Hamburg
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	<div lang="en-x-mtfrom-de">Admission</div> , <div lang="en-x-mtfrom-de">stock exchange</div> , <div lang="en-x-mtfrom-de">share</div> , <div lang="en-x-mtfrom-de">stock exchange management</div> , <div lang="en-x-mtfrom-de">stock exchange trading</div> , <div lang="en-x-mtfrom-de">emission</div> , <div lang="en-x-mtfrom-de">Regulated Market</div> , <div lang="en-x-mtfrom-de">organized market</div> , <div lang="en-x-mtfrom-de">Place</div> , <div lang="en-x-mtfrom-de">placement</div> , <div></div>

Modul	Sachverhalt
	lang="en-x-mtfrom-de">Regulated Market</div>, <div lang="en-x-mtfrom-de">security</div>
Leistungstyp	
Leistungsgruppierung	
Verrichtungskennung	
SDG-Informationsbereich	
Lagen Portalverbund	
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	26.10.2022
Fachlich freigegeben durch	
Handlungsgrundlage	<p>[Section 32 (1) Stock Exchange Act (BörsG)](<a href="https://www.gesetze-im-internet.de/b_rsg_2007/_32.html">https://www.gesetze-im-internet.de/b_rsg_2007/_32.html</a>)</p> <p>( <a href="https://www.gesetze-im-internet.de/b_rsg_2007/_32.html">https://www.gesetze-im-internet.de/b_rsg_2007/_32.html</a> )</p> <p>[Stock Exchange Listing Ordinance](<a href="https://www.gesetze-im-internet.de/b_rszulv/">https://www.gesetze-im-internet.de/b_rszulv/</a>)</p> <p>( <a href="https://www.gesetze-im-internet.de/b_rszulv/">https://www.gesetze-im-internet.de/b_rszulv/</a> )</p> <p>[EU Prospectus Regulation 2017/1129](<a href="https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX:32017R1129">https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX:32017R1129</a>)</p> <p>( <a href="https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX:32017R1129">https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX:32017R1129</a> )</p>
Teaser	Securities that you want to place on the stock exchange for trading on the regulated market must have been admitted beforehand.
Volltext	If you want to have securities traded on a regulated market on a stock exchange, you need approval from the management of the stock exchange. Unless the securities are already legally permitted.

## Modul

## Sachverhalt

### Erforderliche Unterlagen

- Certificate of approval from 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 collective certificate for securities
  - Articles of association or articles of association in the currently valid version • certified extract from the commercial register according to the latest version
  - Certificates of Approval, if
    - the incorporation of the issuer,
    - conducting its business or
    - the issuance of securities requires government approval
  - Evidence of the legal basis of the securities issue
  - Annual financial statements and management reports for the last 3 financial years, including the auditor's reports

### Voraussetzungen

- As a company that wants to issue a security, you must submit the application for admission to the stock 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 based in another EEA country.
- As an applicant company, you must submit a prospectus approved or notified by the Federal Financial Supervisory Authority. You must publish this before the security is introduced on the stock exchange.
- Your company must have existed for at least 3 years and you have published financial statements for the 3 financial years preceding the application.
- Depending on their type, the securities must have certain minimum amounts with regard to
  - expected market value,
  - Equity capital,
  - total nominal amount or
  - have number of pieces.
- The securities must be freely tradable.

Modul	Sachverhalt
	<ul style="list-style-type: none"> <li>• The denomination of the securities, in particular the smallest denomination and the number of securities issued in this denomination, must take account of the needs of stock exchange trading and the public.</li> <li>• Eligible shares must be sufficiently spread.</li> </ul>
Kosten	-
Verfahrensablauf	
Bearbeitungsdauer	
Frist	
weiterführende Informationen	
Hinweise	
Rechtsbehelf	
Kurztext	<ul style="list-style-type: none"> <li>• Admission of securities to stock exchange trading Grant</li> <li>• Securities that are to be traded on the regulated market must first be admitted by the management of the stock exchange</li> <li>• Exception: securities have already been legally approved</li> <li>• The application must be submitted together with the financial institution involved</li> <li>• the application must include a prospectus approved or notified by the Federal Financial Supervisory Authority (BaFin).</li> <li>• Prospectus must be published in advance at the expense of the applicant company</li> <li>• Responsible: stock exchange management</li> </ul>
Ansprechpunkt	
Zuständige Stelle	
Formulare	
Ursprungsportal	Behördenfinder Hamburg, Authority finder Hamburg (Currently this link is only available in german)