

99050091001000, 99050091001000

Permit for financial investment brokers Issuance

Heruntergeladen am 04.07.2025

<https://fimportal.de/xzufi-services/106285283/L100010>

Modul	Sachverhalt
Leistungsschlüssel	99050091001000, 99050091001000
Leistungsbezeichnung I	Permit for financial investment brokers Issuance
Leistungsbezeichnung II	
Typisierung	2/3b - Bund: Regelung, Land: Ausführungsvorschriften, Kommune: Vollzug
Quellredaktion	Saarland
Freigabestatus Katalog	unbestimmter Freigabestatus
Freigabestatus Bibliothek	fachlich freigegeben (silber)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Gewerbe (050)
Verrichtungskennung	Erteilung (001)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Anmeldepflichten (2010100)

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Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	23.06.2025
Fachlich freigegeben durch	Ministry of Economic Affairs, Innovation, Digital and Energy
Handlungsgrundlage	<ul style="list-style-type: none"> • § Section 34f (1) of the Trade Regulation Act (GewO) • § Section 4 of the Financial Investment Brokerage Ordinance (FinVermV) • § Section 11a of the Trade Regulation Act (GewO) • § Section 1 (2) of the Asset Investment Act (VermAnlG) • § Ordinance on Responsibilities for the Implementation of the Trade Regulation Act
Teaser	If you wish to become a self-employed financial investment broker, you must apply for a license.
Volltext	<p>As a financial investment broker, you provide financial services by independently brokering financial products to clients, whereby you receive a commission from the provider of the financial product. If you receive your fee from the client, please apply for a license as a fee-based financial investment advisor. You may not work as a financial investment broker and a fee-based financial investment advisor at the same time.</p> <p>As a financial investment broker, you are restricted to certain financial products by the so-called area exemption of the German Banking Act (KWG).</p> <p>The license covers (optionally) three product categories:</p> <ul style="list-style-type: none"> • Units or shares in domestic open-ended investment funds, open-ended EU investment funds or foreign open-ended investment funds that may be sold in accordance with the German Investment Code (KAGB), • Units or shares in domestic closed-end investment funds, closed-end EU investment funds or foreign closed-end investment funds that may be distributed in accordance with the German Investment Code, • Investments within the meaning of Section 1 (2) of the German Investment Act (VermAnlG).

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In addition to the license, you must also be entered in the register of intermediaries.

Your license may be restricted in terms of content and subject to ancillary provisions if the authorities deem this necessary to protect the general public or clients.

Under the same conditions, the subsequent inclusion, amendment and addition of conditions is also permitted.

Erforderliche Unterlagen

You will need the following documents to process the application:

- Proof of personal reliability, such as a certificate of good conduct for submission to an authority and an extract from the central trade register,
- Proof of orderly financial circumstances, such as an extract from the debtor register of the enforcement court, information from the insolvency court and a certificate from the tax office in tax matters,
- Proof of professional liability insurance,
- Proof of expertise: certificate of passed examination or proof of relevant professional qualification (see further information),
- Extract from the commercial register for legal entities and commercial partnerships.

Note: In the case of (commercial) partnerships, each managing partner must submit an application and the required documents.

Voraussetzungen

Kosten

The fees for issuing a license in accordance with § 34f GewO are currently between 120 and 1,600 euros.

You will receive a notification of fees.

In the event of rejection:

If an application to carry out an official act is withdrawn before it is completed, up to 75 percent of the full fee must be paid, depending on the expenses already

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incurred (Section 9 (2) SaarlGebG).

The administrative fees are set in accordance with the Act on the Levying of Administrative and User Fees in the Saarland (SaarlGebG) in conjunction with the General Fee Schedule for the Saarland (GebVerz) (here: Section 385.13).

Verfahrensablauf

1. You submit the application.
2. After your application has been reviewed, you will receive a fee notice.
3. Once you have paid the fee, the notification will be sent to you.

Bearbeitungsdauer
Frist

The permit must be issued before the start of the activity; it is therefore necessary to submit the application in good time (several weeks before the intended start of operations). At the same time, you must notify the authority responsible for business registration of the commencement of activities. In addition, you must submit an application for entry in the register pursuant to Section 11a (1) GewO immediately after commencing activities as a financial investment broker.

weiterführende Informationen
Hinweise

1. scope of the license

You can apply for permission to act as a fee-based financial investment broker for all product categories (open-ended funds, closed-ended funds, asset investments within the meaning of Section 1 (2) of the Asset Investment Act), but it can also be restricted to individual categories.

2. no double license for financial investment brokers and fee-based financial investment advisors

The license to act as a financial investment broker pursuant to Section 34f of the German Trade, Commerce and Industry Regulation Act and as a fee-based financial investment advisor pursuant to

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Section 34h of the German Trade, Commerce and Industry Regulation Act are mutually exclusive. This means that anyone who already has a license as a financial investment broker can only obtain a license as a fee-based financial investment advisor if they waive their license as a financial investment broker.

Intermediaries within the meaning of Section 2 (1) no. 10 of the German Banking Act (KWG) are exempt from the licensing requirement. They are entered in a public register kept by the Federal Financial Supervisory Authority (BaFin).

Rechtsbehelf

You can lodge an appeal against the decision with the competent authority. You will find the relevant information in the decision.

Kurztext

If you wish to become a self-employed financial investment broker, you must apply for a license.

Ansprechpunkt
Zuständige Stelle

In Saarland, responsibility lies with the districts, the Saarbrücken Regional Association, the state capital Saarbrücken and the medium-sized towns of St. Ingbert and Völklingen as the licensing authority and the Saarland Chamber of Industry and Commerce as the registering authority.

The district police authority responsible for issuing the permit is the district police authority in whose jurisdiction

- the applicant's company has its registered office,
- the applicant has his or her place of residence, in the event that there is no place of business
- the applicant has his or her permanent residence, if the above does not apply.

Formulare

Forms: yes

Online procedure possible: yes

Written form required: no

Personal appearance required: no

Modul	Sachverhalt
Ursprungsportal	Permit for financial investment brokers Issuance, Erlaubnis für Finanzanlagenvermittler Erteilung