

99021002001000, 99021002001000

# Stock exchange - Apply for admission

Heruntergeladen am 25.06.2025

<https://fimportal.de/xzufi-services/231862542/L100039>

Modul	Sachverhalt
Leistungsschlüssel	99021002001000, 99021002001000
Leistungsbezeichnung I	Stock exchange - Apply for admission
Leistungsbezeichnung II	Stock exchange - Apply for admission
Typisierung	2/3 - Bund: Regelung (2 oder 3), Land/Kommune: Vollzug
Quellredaktion	Rheinland-Pfalz
Freigabestatus Katalog	fachlich freigegeben (gold)
Freigabestatus Bibliothek	fachlich freigegeben (gold)
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	Börsenangelegenheiten (021)
Verrichtungskennung	Erteilung (001)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens
Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400)

Modul	Sachverhalt
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	17.12.2024
Fachlich freigegeben durch	Ministry of Economic Affairs, Transport, Agriculture and Viticulture Rhineland-Palatinate
Handlungsgrundlage	<a href="https://www.gesetze-im-internet.de/b_rsg_2007/_19.html">https://www.gesetze-im-internet.de/b_rsg_2007/_19.html</a> <a href="https://www.gesetze-im-internet.de/b_rsg_2007/_19.html">https://www.gesetze-im-internet.de/b_rsg_2007/_19.html</a>
Teaser	If a credit or financial services institution wishes to trade directly on a stock exchange, the institution requires admission as a trading participant.
Volltext	<p>To participate in trading as a trading participant, credit institutions, financial services institutions and financial companies require admission. This is issued by the Exchange Management Board.</p> <p>Each trading participant may have an unlimited number of traders. However, a trading participant must have at least one admitted trader in order to meet the participation requirements for trading.</p>
Erforderliche Unterlagen	<ul style="list-style-type: none"> <li>• Proof of personal reliability of the business owner or the person who manages the business or is authorized to represent it</li> <li>• Proof of professional suitability of the business owner or the person who manages the business or is authorized to represent it</li> <li>• Proof of the company's required equity capital (equity capital is defined as the paid-in capital and reserves after deduction of withdrawals by the proprietor or the personally liable partners and loans granted to them as well as any excess debt over the proprietor's free assets)</li> </ul>
Voraussetzungen	<p>Only those persons may be admitted to exchange trading who, in the case of exchange-tradable items, commercially</p> <ul style="list-style-type: none"> <li>• purchases and sells them for their own account or</li> <li>• purchases and sells them in their own name for the</li> </ul>

**Modul**
**Sachverhalt**

account of third parties or

- undertakes the brokerage of contracts for the purchase and sale

and whose business operations require a commercially organized business operation in terms of type and scope.

The admission of a company to participate in stock exchange trading is granted if

- the proprietor or the persons entrusted with the management of the company's business and authorized to represent it in accordance with the law, articles of association or partnership agreement are reliable and at least one of these persons has the professional qualifications required for securities or commodities trading on the stock exchange;
- the orderly settlement of transactions concluded on the stock exchange is ensured;
- the company provides evidence of equity capital of at least EUR 50,000 (except in the case of credit institutions, financial services institutions or companies operating in accordance with section 53 (1) sentence 1 or section 53b (1) sentence 1 of the German Banking Act that are authorized to conduct financial commission business within the meaning of section 1 (1) sentence 2 no. 4 or to provide a financial service within the meaning of section 1 (1a) sentence 2 nos. 1 to 4 of the German Banking Act);
- no facts justify the assumption that the company, which is obliged to provide evidence of equity capital, does not have the economic capacity required for orderly participation in stock exchange trading, taking into account the proven equity capital.

**Kosten**
**Verfahrensablauf**

Admission as a trading participant must be applied for in writing.

**Bearbeitungsdauer**
**Frist**
**weiterführende**

Modul	Sachverhalt
<b>Informationen</b>	
<b>Hinweise</b>	Any person who wishes to trade on an exchange and must be authorized to trade on the exchange on behalf of a trading participant requires admission as an exchange trader.
<b>Rechtsbehelf</b>	
<b>Kurztext</b>	<ul style="list-style-type: none"> <li>• Admission to the stock exchange Issue</li> <li>• Companies wishing to trade on the stock exchange must be admitted</li> <li>• Business owner or person managing the business or authorized representative must be personally reliable and professionally suitable</li> <li>• responsible: Exchange Management Board</li> </ul>
<b>Ansprechpunkt</b>	
<b>Zuständige Stelle</b>	The highest state authority in Rhineland-Palatinate is responsible for stock exchange supervision.
<b>Formulare</b>	
<b>Ursprungsportal</b>	Stock exchange - Apply for admission, Börse - Zulassung beantragen