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Berlin Stock Exchange Supervisory Authority - File a complaint

The Exchange Supervisory Authority examines matters relating to the two stock exchanges in Berlin or to itself. In doing so, it generally examines whether there has been a violation of stock exchange law.

As a person concerned, you would like to complain about irregularities in transactions on the two stock exchanges in Berlin - Börse Berlin and Tradegate Exchange? You have received an e-mail from an exchange supervisory authority that seems dubious to you? Then you can contact the Berlin Stock Exchange Supervisory Authority with a complaint. The Exchange Supervisory Authority can, for example, inform you whether it is the sender of an e-mail.

The Exchange Supervisory Authority can check whether the legal requirements have been complied with at one of the stock exchanges in Berlin. In doing so, it acts "exclusively in the public interest", i.e. the complaint does not replace legal action (lawsuit). The Exchange Supervisory Authority can provide general information, but does not give individual legal advice like a lawyer.

Procedure:

1. You submit your complaint in text form to the Berlin Stock Exchange Supervisory Authority. In doing so, you should specifically list the transactions or facts objected to. You can use the online form for this purpose.
2. If you have not been able to clarify the matter with the Trading Surveillance Office of the respective exchange (see "More information"), your complaint will be examined to determine whether the exchange rules and regulations applicable at the exchange in question have been complied with (legal supervision) and whether trading and the settlement of transactions have been carried out properly (market supervision). If you have received a suspicious email, we will check whether it originated from us.
3. You will receive a final notice from the Market Surveillance regarding your complaint.

Prerequisites

- **Exchange centre Berlin**

The complaint must relate to an issue at Börse Berlin or Tradegate Exchange or concern the Berlin Exchange Supervisory Authority (e.g. as the alleged sender of e-mails).

Documents required

- **Complaint**

- The facts complained about must be described as precisely as possible (text form).
- If a transaction is objected to, it must be specifically named: Stock exchange, time of the transaction and existing key figures (e.g. ISIN).

- If a transaction is objected to: The Trading Surveillance Office responsible for the exchange has not resolved your complaint. Any correspondence should be attached.
- If a sender is unclear: e-mail as pdf.

Fees

none

Legal basis

- **Stock Exchange Act (BörsG) § 3**
(https://www.gesetze-im-internet.de/b_rsg_2007/_3.html)

Average time to process request

- Simple information can be provided within a few days.
- The average processing time is about 2 to 3 weeks, if research is necessary.

More information

- **Information from the Exchange Supervisory Authority Berlin at the Senate Department for Economics**
(<https://www.berlin.de/sen/wirtschaft/wirtschaftsrecht/boersenaufsicht/>)
- **Overview of Exchange Supervisory Authorities in Germany**
(<http://www.boersenaufsicht.de/>)
- **Federal Financial Supervisory Authority - consumer information**
(https://www.bafin.de/DE/Verbraucher/BaFinVerbraucherschutz/bafin_node.html)
- **Trade monitoring unit of the Berlin Stock Exchange**
(https://www.boerse-berlin.de/index.php/Handelsqualitaet/Ueberwacher_Handel)
- **Trade monitoring unit of Tradegate Exchange**
(<https://www.tradegate.de/nachfrage.php>)

Hinweise zur Zuständigkeit

- **The Berlin Stock Exchange Supervisory Authority is only responsible for the legal supervision of trading on the two stock exchanges in Berlin - Börse Berlin and Tradegate Exchange.**
- It has no jurisdiction over other German stock exchanges, over-the-counter online trading platforms or problems with foreign trading venues. If necessary, contact the respective local supervisory authority or the Federal Financial Supervisory Authority - BaFin (see "More information").