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Financial investment broker - register for the examination

In order to obtain a licence as a financial investment broker or fee-based financial investment advisor, you must provide evidence of the required expertise. Proven expertise is valid for life.

If you wish to broker financial investments commercially in return for commission from the issuer, you must provide proof of your expertise in order to obtain a licence. You can do this by taking an examination at the CCI. Depending on the product category, the examination is divided into three areas:

- Open financial investments
- Closed-end financial investments
- Asset investments

The examination of expertise for financial investment brokers corresponds to the examination of expertise for fee-based financial investment advisors.

Theoretical and practical part of the examination

The examination consists of a written and a practical part. They must be taken 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 conduct a simulated customer counselling interview.
- If you have completed vocational training or a degree in banking and finance, this may be recognised instead of the specialist knowledge test.

Procedure

1. You register for the examination.
2. The CCI will inform you in good time before the examination about the details of the examination procedure, place and time.
3. You first take the written examination.
4. If you pass the written exam, you will take the practical exam.
5. After successfully passing the exam, you will receive a certificate of your expertise.

Prerequisites

- **Appearance in person**
You must appear in person at the examinations.
- **Observe registration deadline**
Registration deadline is usually 28 days before the respective examination date

Documents required

- **Registration for the expert knowledge examination**
Only online possible
You must register for this on the Chamber of Industry and Commerce (IHK) Berlin' s registration portal.
- **ID card with photo for identification at the examination**

Fees

EUR 205.00 to EUR 395.00 depending on the type and scope of the examination.

Legal basis

- **Trade regulations (GewO) § 34f sec. 2 No. 4**
(https://www.gesetze-im-internet.de/gewo/_34f.html)
- **Ordinance on the Brokerage of Financial Investments (Finanzanlagenvermittlungsverordnung (FinVermV)) §§ 1-5**
(<https://www.gesetze-im-internet.de/finvermv/BJNR100610012.html#BJNR100610012BJNG000100000>)
- **Schedule of fees of the IHK (Section C.7)**
(<https://www.ihk.de/blueprint/servlet/resource/blob/2256952/9289dfb239a0167a27d5a6159523ee4a/ihk-gebuehrenordnung-data.pdf>)

Average time to process request

You will normally get the certificate several days after you have passed the exam.

More information

- **Overview of the Chambers of Industry and Commerce in Germany**
(<https://www.ihk.de/?fdialog=ihk-finder%2F%2F>)
- **List of professional qualifications recognised as expertise instead of the examination**
(https://www.gesetze-im-internet.de/versvermv_2018/_5.html)
- **Information on the examination from Association of German Chambers of Industry and Commerce (Deutscher Industrie- und Handelskammertag or DIHK)**
(<https://www.dihk.de/de/themen-und-positionen/wirtschaftspolitik/gruendung-und-nachfolge-unternehmensfinanzierung/sach-und-fachkundepruefungen-im-ueberblick-11732>)
- **Information on the Berlin Chamber of Industry and Commerce (IHK) examination**
(<https://www.ihk.de/berlin/pruefungen-lehrgaenge/pruefungen/sach-und-fachkundepruefung/finanzanlagenvermittler-3890084>)

Average time to process request

<https://www.finanzanlagenvermittler-ihk.de/IHK/Berlin/Home/Info>