



**Finansinspektionen**  
Box 7821  
SE-103 97 Stockholm  
[Brunnsgatan 3]  
Tel +46 8 787 80 00  
Fax +46 8 24 13 35  
finansinspektionen@fi.se  
www.fi.se

## **Information about marketing regulations, etc., pursuant to the requirements set out in Article 30 of Directive 2010/44/EU**

Information about marketing regulations, etc, in Sweden.

- **The definition of the term “marketing of units of UCITS” or the equivalent legal term as stated in national legislation or as developed in practice:**

Marketing refers to, pursuant to section 3 of the Marketing Act (2008:486), advertising and other measures in the course of business activities which are intended to promote the sale of and access to products including a trader’s actions, omissions or other measures or behaviour before, during or after sale or delivery of products to consumers or traders. In the fund legislation, marketing refers to all forms of sale promotion here in the country, e.g. advertisements in mass media, telephone, post and online marketing and special events for investors. Even information provided verbally at the offices of a foreign collective investment undertaking or its representatives is included. All types of measures taken in Sweden which are intended to recruit clients domiciled in Sweden are included. Accordingly, it is sufficient for the foreign collective investment undertaking to provide instructions or information expressly targeted to clients residing in Sweden on its electronic website or via another medium.

- **Any additional information required to be disclosed to investors (without prejudice to Chapter IX (Key Investor Document, etc.) of Directive 2009/65/EC:**

Pursuant to Directive 2009/65/EC a key investor document containing basic, consumer-friendly information about the fund in question shall be drawn up and provided. The key investor document shall be drawn up in the official language or another language approved by the host Member State.

The foreign collective investment undertaking shall also in general comply with Chapter 4, section 20 and Chapter 1, section 10, second paragraph of the Investment Funds Act (2004:46) and provide a prospectus, annual report and half-yearly report either in the official language of the host Member State, another approved language here or a language which is common within the international finance sector.

- **Any exemptions from rules or requirements governing arrangements made for marketing applicable in Sweden for certain UCITS, certain share classes of UCITS or certain categories of investors:**

In Sweden, no exemptions were introduced for marketing directed to professional investors, and there are no other exceptions in general, either.

- **Requirements for any reporting or transmission of information to the competent authorities in Sweden, and the procedure for lodging updated versions of required documents:**

Pursuant to Article 93(7) of Directive 2009/65/EC Finansinspektionen shall have access, by electronic means, to up-to-date and, where necessary, transliterated versions of the documents appended to the notification. Pursuant to Article 31 of Directive 2010/44/EU this shall occur by the foreign collective investment undertaking publishing the documents on its website (or another website specified in the notification) in an electronic format in common use.

- **Requirements in relation to the facilities to be made available to unit-holders as required by article 92 of Directive 2009/65/EC:**

Measures in order to, here in the country, be able to

- make payments to unit holders,
- redeem units, and
- provide information which the undertaking is obligated to provide pursuant to the rules in its home country.

- **Requirements for any fees or other sums to be paid to the competent authorities or any other statutory body in Sweden, either when marketing commences or periodically thereafter:**

No fees are currently charged.

- **Conditions for the termination of marketing of units of UCITS in Sweden by a UCITS situated in another Member State:**

A letter to Finansinspektionen, signed by an authorised signatory or a third person empowered to act on behalf of the UCITS, stating that the UCITS should be removed from Finansinspektionen's register is sufficient.

- **Detailed contents of the information required by a Member State to be included in Part B of the notification letter as referred to in Article 1 of Commission Regulation (EU) No 584/2010 of 1 July 2010 implementing Directive 2009/65/EC of the European Parliament and of the Council as regards the form and content of standard notification letter and UCITS attestation, the use of electronic communication between competent authorities for the purpose of notification, and procedures for on-the-spot verifications and investigations and the exchange of information between competent authorities.**

Currently none.

- **The e-mail address designated for receiving notifications of updates and amendments to the documents referred to in Article 93 (2) of Directive 2009/65/EC.**

The e-mail address [finansinspektionen@fi.se](mailto:finansinspektionen@fi.se) should be used for this purpose.