

Finansinspektionen's Regulatory Code

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This translation is furnished solely for information purposes. Only the printed version of the regulation in Swedish applies for the application of the law.

Regulations

amending Finansinspektionen's regulations and general guidelines (FFFS 2002:8) regarding listings of certain holdings of financial instruments;

FFFS 2018:22

Published

17 December 2018

decided 11 December 2018.

Finansinspektionen prescribes pursuant to Chapter 6, section 1, point 2 of the Securities Market Ordinance (2007:572) and section 10, second paragraph, points 1 and 2 of the Supplemental Provision to the EU Market Abuse Regulation (2016:1316) that the heading to Finansinspektionen's regulations and general guidelines (FFFS 2002:8) regarding lists of certain holdings of financial instruments and sections 1 and 2 shall have the following wording.

Finansinspektionen's regulations regarding lists of certain holdings of financial instruments

Section 1 Authorised trading venues shall maintain a list pursuant to section 13 of the Reporting Obligations for Certain Holdings of Financial Instruments Act (2000:1087). The list shall contain as a minimum information regarding

- the name, position and Swedish personal ID number of the person subject to the notification obligation or, if the person does not have a Swedish personal ID number, some other identification number,
- the issuer, number or value and type of financial instrument held by the person subject to the notification obligation and closely related persons,
- holdings and the change in holdings, the time and size of the holdings and the change in holdings,
- whose holdings have changed and, if the change refers to a closely related person pursuant to section 12 of the Reporting Obligations for Certain Holdings of Financial Instruments Act, the tie to the person subject to the notification obligation, and
- the date of the notification to the employer or client.

For options, specification is required of whether a bid or put option has been issued, acquired or transferred. In addition, the underlying asset, number, maturity, closing day and strike price shall be specified. The corresponding information shall be provided for forwards.

Section 2¹ The person obligated to maintain a list pursuant to section 1 shall decide which employees and contractors are subject to the notification obligation pursuant to section 12 of the Reporting Obligations for Certain Holdings of Financial Instruments Act. The basis for how the group of persons subject to the notification obligation has been determined shall be documented.

¹ The amendment entails that the general guidelines have been removed.

These regulations shall enter into force on 1 January 2019.

ERIK THEDÉEN

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