

Finansinspektionens 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.

FFFS 2010:1

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Finansinspektionens regulations regarding quarterly statistics for some securities companies;

decided on 29 January 2010.

Finansinspektionen prescribes the following pursuant to section 7 of the Official Statistics Act (2001:99) and Chapter 23, section 2 of the Securities Market Act (2007:528).

Section 1 These regulations apply to the following undertakings:

1. Securities companies that

– trade in financial instruments on their own account without simultaneously having authorisation to both grant credit to customers and receive funds on account from customers pursuant to section 2, points 2 and 8 of the Securities Market Act (2007:528), and

– belong to Sector S.123, other financial intermediaries, except insurance corporations and pension funds, according to the European System of Accounts 1995 (ESA95).

2. Branches of foreign securities companies that

– conduct operations in Sweden that are registered with Finansinspektionen pursuant to Article 32 of Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments¹, and

– trade in financial instruments on their own account in accordance with Section A(3) of Annex I to the Directive, but do not grant credits to investors pursuant to Section B(2) of Annex I to the Directive.

Section 2 An undertaking shall report data both for the individual undertaking and as a total for all of the undertaking's branches outside of Sweden.

Section 3 The data shall be submitted to Statistics Sweden as at the end of each quarter in accordance with the form Quarterly Statistics for Some Securities Companies, see *Appendix 1*.

Instructions for the form are set out in *Appendix 2*.

Section 4 The data shall have been received by Statistics Sweden no later than the 15th business day of the subsequent quarter. The data will be provided to the Riksbank and Finansinspektionen.

¹ EUT L 145, 30.4.2004, p. 1 (Celex 32004L0039).

1. These regulations shall enter into force on 1 March 2010 and are applied for the first time to data as at 31 March 2010.

2. Upon entry into force of these regulations, Finansinspektionen's regulations (FFFS 2003:4) regarding quarterly statistics for some securities companies shall be repealed.

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