#### Finansinspektionen's Regulatory Code

Publisher: Finansinspektionen, Sweden, www.fi.se ISSN 1102-7460

This translation is furnished for information purposes only and is not itself a legal document.

## **Regulations** amending Finansinspektionen's regulations (FFFS 2010:1) regarding quarterly statistics for some securities companies;

decided 16/02/2015.

Finansinspektionen prescribes pursuant to Chapter 6, section 1, points 63 and 65 of the Securities Market Ordinance (2007:572) and section 15 of the Official Statistics Ordinance (2001:100) in respect of Finansinspektionen's regulations (FFFS 2010:1) regarding quarterly statistics for some securities companies that section 1 of Appendix 1 and Part 2 *Classification of counterparties* and Part 3 *Reporting of quarterly information* of Appendix 2, shall have the following wording.

Section 1 These regulations apply to the following undertakings:

1. Securities companies that

- deals in financial instruments on own account and do not also have authorisation to grant credits to investors and receive funds on account from investors pursuant to Chapter 2, section 2, points 2 and 8 of the Securities Market Act (2007:528), and

– belong to Sector S.125, financial institutions other than limited insurance companies and pension institutions, according to European System of Accounts 2010 (ESA 2010) and Standard Classification by Institutional Sector 2014 (INSEKT 2014).

2. Branches to 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 instruments<sup>1</sup>, and

- trade in financial instruments on own account pursuant to Section A3 of Annex I to the Directive, but do not grant credits to investors pursuant to Section B2 of Annex I to the Directive.

MARTIN ANDERSSON

Hans-Olof Bergqvist





**FFFS 2015:2** Published 20/02/2015

These regulations shall enter into force on 1 March 2015 and are applied for the first time to information submitted for Q1 2015.

<sup>&</sup>lt;sup>1</sup> EUT L 145, 30.4.2004, p. 1 (Celex 32004L0039).

### **QUARTERLY STATISTICS FOR SOME SECURITIES COMPANIES**

Institution	
CIN	Institution no.

Quarter Year

.....

#### Statistics Sweden shall have received this form no later than the 15th business day following the end of the quarter

\* If it is not possible to submit the data electronically, one copy of the form shall be sent to

> Statistics Sweden ES/BFM Box 24300 104 51 STOCKHOLM

The information will be given to Sveriges Riksbank and Finansinspektionen.

#### I hereby verify the accuracy of the information submitted using this form and the appended spe

Administrator	Signature
Name (PRINT)	Date
	Signature of chief officer
Telephone (area code and number)	Signature of administrator

Form issuer	Questions will be answered by:	Telephone no.	Email
Statistics Sweden	Financial Market Unit	+46 (0)8 506 940 00	fmr@scb.se

# QUARTERLY STATISTICS FOR SOME SECURITIES COMPANIES

All currencies shall be translated into SEK and reported as SEK thousands.

#### ASSETS

			SEK		EUR a	and other EM	U currencies	0	Other EU cur	rencies		Other currer	ncies
ASH AND BANK BALANCES		OB	Rev	HCB	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
F CENTRAL BANKS	11000												
Cash balances	11001												
Riksbank	11002												
Other	11003												
		-			-			-			-		
			SEK		EUR a	and other EM	U currencies	0	Other EU cur	rencies		Other currer	ncies
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
DANS	12000												
iginal maturity up to 1 year	12100												
MFI	12110												
Banks	12111												
Riksbank	12112												
Mortgage institutions	12113												
Monetary securities companies	12114												
Other MFI <sup>1</sup>	12115												
Other financial companies	12120												
Investment companies	12121												
Securities companies	12122												
Insurance undertakings and pension instituti	12123												
Financial service companies	12124												
Other financial companies <sup>3</sup>	12125												
Non-financial companies	12130												
Households	12140												
ню	12150												
Public sector	12160												
Central government	12161												
Local government	12162												
Social security funds	12163												
EMU countries	12170												
Other EU	12180												
Rest of world	12190												

ENDING, cont'd.			SEK		EUR and	other EMU	currencies	Oth	er EU curren	cies	C	ther curren	cies
		OB	Rev	СВ	ОВ	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
iginal maturity greater than 1 year	12200												
MFI	12210												
Banks	12211												
Riksbank	12212												
Mortgage institutions	12213												
Monetary securities companies	12214												
Other MFI <sup>1</sup>	12215												
Other financial companies	12220												
Investment companies	12221												
Non-monetary securities companies	12222												
Insurance undertakings and pension institut	12223												
Financial service companies	12224												
Other financial companies <sup>3</sup>	12225												
Non-financial companies	12230												
Households	12240												
ню	12250												
Public sector	12260												
Central government	12261												
Local government	12262												
Social security funds	12263												
EMU countries	12270												
Other EU	12280												
Rest of world	12290												

			SEK		EUR ar	nd other EML	J currencies	Oth	ner EU currer	icies	C	other currence	ies
ONDS AND OTHER		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
ITEREST-BEARING SECURITIES	13000												
riginal maturity up to 1 year	13100												
MFI	13110												
Banks	13111												
Riksbank	13112												
Mortgage institutions	13113												
Monetary securities companies	13114												
Other MFI <sup>1</sup>	13115												
Other financial companies	13120												
Investment companies	13121												
Non-monetary securities companies	13122												
Insurance undertakings and pension instituti	13123												
Financial service companies	13124												
Other financial companies <sup>3</sup>	13125												
Non-financial companies	13130												
Public sector	13140												
Central government	13141												
Local government	13142												
EMU countries	13150												
Other EU	13160												
Rest of world	13170												
Of which eligible for refinancing by central ba	13199												

			SEK		EUR and	d other EMU	currencies	Oth	er EU curren	cies	0	ther currenc	ies
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
ginal maturity greater than 1 year	13200												
MFI	13210												
Banks	13211												
Riksbank	13212												
Mortgage institutions	13213												
Monetary securities companies	13214												
Other MFI <sup>1</sup>	13215												
Other financial companies	13220												
Investment companies	13221												
Non-monetary securities companies	13222												
Insurance undertakings and pension institut	13223												
Financial service companies	13224												
Other financial companies <sup>3</sup>	13225												
Non-financial companies	13230												
Public sector	13240												
Central government	13241												
Local government	13242												
EMU countries	13250												
Other EU	13260												
Rest of world	13270												
Of which eligible for refinancing by central ba	13299												

			SEK		EUR and	other EMU c	urrencies	Oth	er EU curren	cies	0	ther currenci	es
		ОВ	Rev	СВ	ОВ	Rev	СВ	OB	Rev	СВ	ОВ	Rev	СВ
SHARES AND PARTICIPATIONS	14000												
Listed shares	14100												
MFI	14110												
Banks	14111												
Mortgage institutions	14112												
Monetary securities companies	14113												
Other MFI <sup>1</sup>	14114												
Other financial companies	14120												
Investment companies	14121												
Non-monetary securities companies	14122												
Insurance undertakings and pension instituti	14123												
Financial service companies	14124												
Other financial companies <sup>3</sup>	14125												
Non-financial companies	14130												
EMU countries	14140												
Other EU	14150												
Rest of world	14160												
Unlisted shares	14200												
MFI	14210												
Banks	14211												
Mortgage institutions	14212												
Monetary securities companies	14213												
Other MFI <sup>1</sup>	14214												
Other financial companies	14220												
Investment companies	14221												
Non-monetary securities companies	14222												
Insurance undertakings and pension instituti	14223												
Financial service companies	14224												
Other financial companies <sup>3</sup>	14225												
Non-financial companies	14230												
EMU countries	14240												
Other EU	14250												
Rest of world	14260												
Other participations	14300												
Sweden	14310												
EMU countries	14320												
Other EU	14330												
Rest of world	14340												

			SEK		EUR and	other EMU	currencies	Oth	er EU curren	cies	0	ther currenci	es
		OB	Rev	СВ	ОВ	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
FUND UNITS	15000												
MFI	15010												
Money market funds	15011												
Other financial	15020												
UCITS and non-UCITS excluding money ma	15012												
EMU countries	15030												
Other EU	15040												
Rest of world	15050												

			SEK		EUR and	other EMU c	urrencies	Oth	er EU curren	cies	Ot	ther currenci	es
	_	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
INTANGIBLE ASSETS	16100												
PROPERTY, PLANT AND EQUIPMENT	16200												

			SEK		EUR an	d other EMU	currencies	Oth	er EU currer	ncies	0	ther currenc	ies
HER ASSETS		OB	Rev	СВ	OB	Rev	СВ	ОВ	Rev	СВ	ОВ	Rev	СВ
ncial derivatives	17000												
MFI	17010												
Banks	17011												
Riksbank	17012												
Mortgage institutions	17013												
Money market funds	17014												
Monetary securities companies	17015												
Other MFI <sup>2</sup>	17016												
Other financial companies	17020												
UCITS and non-UCITS excluding money ma	17021												
Investment companies	17022												
Non-monetary securities companies	17023												
Insurance undertakings and pension instituti	17024												
Financial service companies	17025												
Other financial companies <sup>4</sup>	17026												
Non-financial companies	17030												
Households	17040												
HIO	17050												
Public sector	17060												
Central government	17061												
Local government	17062												
Social security funds	17063												
EMU countries	17070												
Other EU	17080												
Rest of world	17090												

			SEK		EUR and	l other EMU	currencies	Oth	ner EU currei	ncies	C	ther currence	ies
	_	OB	Rev	СВ	ОВ	Rev	СВ	OB	Rev	CB	OB	Rev	СВ
THER	18000												
Sweden	18010												
of which current trading accounts	18011												
EMU countries	18020												
of which current trading accounts	18021												
Other EU	18030												
of which current trading accounts	18031												
Rest of world	18040												
of which current trading accounts	18041												

PREPAID EXPENSES			SEK		EUR and	d other EMU	currencies	Oth	ner EU curren	cies	0	ther currenc	ies
AND ACCRUED INCOME		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
Prepaid expenses and accrued income	19100												
of which accrued interest central banks	19110												
of which accrued interest bonds	19120												
of which accrued loans	19130												
of which short-term loans	19131												
of which long-term loans	19132												

			SEK		EUR and	other EMU c	urrencies	Oth	er EU curren	cies	01	ther currenci	es
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
TOTAL ASSETS	10000												
BRANCH DIFFERENCE	31000												
TOTAL ASSETS	32000												

#### LIABILITIES

			SEK		EUR	and other EM	U currencies	0	ther EU curr	encies		Other curre	encies
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
POSITS AND BORROWING	21000												
inal maturity up to 1 year	21100												
MFI	21110												
Banks	21111												
Riksbank	21112												
Mortgage institutions	21113												
Money market funds	21114												
Monetary securities companies	21115												
Other MFI <sup>2</sup>	21116												
Other financial companies	21120												
UCITS and non-UCITS excluding money ma	21121												
Investment companies	21122												
Non-monetary securities companies	21123												
Insurance undertakings and pension institut	21124												
Financial service companies	21125												
Other financial companies <sup>4</sup>	21126												
Non-financial companies	21130												
Households	21140												
HIO	21150												
Public sector	21160												
Central government	21161												
Local government	21162												
Social security funds	21163												
EMU countries	21170												
Other EU	21180												
Rest of world	21190												

			SEK		EUR and	d other EMU	currencies	Oth	er EU currer	ncies	0	ther currence	ies
	_	OB	Rev	СВ	ОВ	Rev	СВ	ОВ	Rev	СВ	OB	Rev	СВ
inal maturity greater than 1 year	21200												
MFI	21210												
Banks	21211												
Riksbank	21212												
Mortgage institutions	21213												
Money market funds	21214												
Monetary securities companies	21215												
Other MFI <sup>2</sup>	21216												
Other financial companies	21220												
UCITS and non-UCITS excluding money ma	21221												
Investment companies	21222												
Non-monetary securities companies	21223												
Insurance undertakings and pension institution	21224												
Financial service companies	21225												
Other financial companies <sup>4</sup>	21226												
Non-financial companies	21230												
Households	21240												
HIO	21250												
Public sector	21260												
Central government	21261												
Local government	21262												
Social security funds	21263												
EMU countries	21270												
Other EU	21280												
Rest of world	21290												

			SEK		EUR and	other EMU of	urrencies	Oth	er EU curren	cies	0	ther currenc	ies
		OB	Rev	СВ	ОВ	Rev	СВ	ОВ	Rev	СВ	OB	Rev	СВ
ISSUED SECURITIES	22000												
Original maturity up to 1 year	22100												
Sweden	22110												
EMU countries	22120												
Other EU	22130												
Rest of world	22140												
Original maturity greater than 1 year	22200												
Sweden	22210												
EMU countries	22220												
Other EU	22230												
Rest of world	22240												

			SEK		EUR and	other EMU	currencies	Oth	er EU curren	cies	0	ther currence	ies
HER LIABILITIES		OB	Rev	СВ	ОВ	Rev	СВ	ОВ	Rev	СВ	ОВ	Rev	СВ
ancial derivatives	23000												
MFI	23010												
Banks	23011												
Riksbank	23012												
Mortgage institutions	23013												
Money market funds	23014												
Monetary securities companies	23015												
Other MFI <sup>2</sup>	23016												
Other financial companies	23020												
UCITS and non-UCITS excluding money ma	23021												
Investment companies	23022												
Non-monetary securities companies	23023												
Insurance undertakings and pension institut	23023												
Financial service companies	23025												
Other financial companies <sup>4</sup>	23026												
Non-financial companies	23030												
Households	23040												
НЮ	23050												
Public sector	23060												
Central government	23061												
Local government	23062												
Social security funds	23063												
EMU countries	23070												
Other EU	23080												
Rest of world	23090												

			SEK		EUR and	d other EMU	currencies	Oth	ner EU currer	ncies	C	ther currenc	ies
	_	OB	Rev	СВ	OB	Rev	СВ	ОВ	Rev	СВ	OB	Rev	СВ
HER	24000												
Sweden	24010												
of which current trading accounts	24011												
EMU countries	24020												
of which current trading accounts	24021												
Other EU	24030												
of which current trading accounts	24031												
Rest of world	24040												
of which current trading accounts	24041												

CRUALS			SEK		EUR	and other EMU	currencies		Other EU curr	encies		Other curre	encies
FERRED INCOME		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
Accrued expenses and prepaid income	25100												
of which accrued interest bonds	25110												
of which accrued interest loans	25120												
of which short-term borrowing	25121												
of which long-term borrowing	25122												

			SEK		EUR and	l other EMU o	urrencies	Oth	er EU curren	cies	0	ther currenci	es
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
PROVISIONS	26000												
SUBORDINATED DEBT	27000												
of which debenture loans	27100												
UNTAXED RESERVES	28000												
EQUITY	29000												

			SEK		EUR and	d other EMU	currencies	Oth	er EU currer	ncies	0	ther currenc	ies
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
TOTAL LIABILITIES AND EQUITY	20000												
	_	-			-			-			-		
BRANCH DIFFERENCE	33000												
TOTAL ASSETS	34000												

# QUARTERLY STATISTICS FOR SOME SECURITIES COMPANIES TRANSACTIONS WITH OWN FOREIGN BRANCHES All currencies shall be translated into SEK and reported as SEK thousands.

#### ASSETS

			SEK		EUR an	d other EMU	currencies	Ot	her EU currei	ncies		Other curren	cies
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	ОВ	Rev	СВ
OANS	12000												
hort (up to 1 year)	12100												
EMU countries	12170												
Other EU	12180												
Rest of world	12190												
ong (greater than 1 year)	12200												
EMU countries	12270												
Other EU	12280												
Rest of world	12290												
			SEK		EUR an	d other EMU	currencies	Ot	her EU currei	ncies		Other curren	cies
ONDS AND OTHER		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
ITEREST-BEARING ASSETS	13000												
iginal maturity up to 1 year	13100												
EMU countries	13150												
Other EU	13160												
Rest of world	13170												
iginal maturity greater than 1 year	13200												
EMU countries	13250												
Other EU	13260												
Rest of world	13270												
	-							-			-		
			SEK		EUR an	d other EMU	currencies	Ot	her EU currei	ncies		Other curren	cies
THER ASSETS		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
nancial derivatives	17000												
EMU countries	17070												
Other EU	17080												
Rest of world	17090												
her	18000												
EMU countries	18020												
of which current trading accounts	18021												
Other EU	18030												
of which current trading accounts	18031												
Rest of world	18040												
of which current trading accounts	18041												

PREPAID EXPENSES	SEK	EUR and other EMU currencies	Other EU currencies	Other currencies

A٨	ID ACCRUED INCOME		OB	Rev	СВ									
	Prepaid expenses and accrued income	19100												
	of which accrued interest bonds	19120												
	of which accrued loans	19130												
	of which short-term loans	19131												
	of which long-term loans	19132												

	ſ		SEK			EUR and other EMU currencies			er EU curren	cies	0	ther currenc	ies
		OB		СВ	OB	Rev	СВ	OB	Rev	СВ	OB		СВ
TOTAL ASSETS	10000												

#### LIABILITIES

			SEK			EUR and other EMU currencies			Other EU currencies			Other currencies		
	_	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	
DEPOSITS AND BORROWING	21000													
Short (up to 1 year)	21100													
EMU countries	21170													
Other EU	21180													
Rest of world	21190													
Long (greater than 1 year)	21200													
EMU countries	21270													
Other EU	21280													
Rest of world	21290													

			SEK			d other EMU	currencies	Oth	er EU currencies		Other currenc		cies
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
ISSUED SECURITIES	22000												
Original maturity up to 1 year	22100												
EMU countries	22120												
Other EU	22130												
Rest of world	22140												
Original maturity greater than 1 year	22200												
EMU countries	22220												
Other EU	22230												
Rest of world	22240												

		SEK			EUR and	d other EMU	currencies	Oth	ner EU currer	ncies	(	Other curren	cies
OTHER LIABILITIES		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
Financial derivatives	23000												
EMU countries	23070												
Other EU	23080												
Rest of world	23090												
ther	24000												
EMU countries	24020												
of which current trading accounts	24021												
Other EU	24030												
of which current trading accounts	24031												
Rest of world	24040												
of which current trading accounts	24041												

ACCRUALS DEFERRED INCOME			SEK		EUR and other EMU currencies			Other EU currencies			Other currencies		
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ
Deferred income	25100												
of which accrued interest bonds	25110												
of which accrued interest loans	25120												
of which short-term borrowing	25121												
of which long-term borrowing	25122												

			SEK		EUR and	UR and other EMU currencies			Other EU currencies			Other currencies		
		OB	Rev	СВ	OB	Rev	СВ	OB	Rev	CB	OB	Rev	СВ	
TOTAL LIABILITIES AND EQUITY	20000													

		SEK			EUR and	EUR and other EMU currencies			Other EU currencies			Other currencies		
DIFFERENCE BETWEEN ASSETS AND	OB	F	Rev	СВ	OB	Rev	СВ	OB	Rev	СВ	OB		СВ	
LIABILITIES AND EQUITY*														

\* If the difference is **negative (positive**), the branch difference goes under **Assets (Liabilities)** on the Institute+Branch report tab.