

Finansinspektionen's Regulatory Code

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Regulations

amending Finansinspektionen's regulations (FFFS 2007:17) governing operations on trading venues;

FFFS 2018:19

Published

19 November 2018

Decided 13 November 2018.

Finansinspektionen prescribes pursuant to Chapter 6, section 1, points 46–48 of the Securities Market Ordinance (2007:572) in respect of Finansinspektionen's regulations (FFFS 2007:17) regarding operations on trading venues

in part that Chapter 5, sections 3 and 12–19 shall be repealed,
in part that the headings immediately preceding Chapter 5, sections 12, 13 and 16–18 shall be removed,
in part that Chapter 5, sections 1 and 2 shall have the following wording.

Chapter 5

Section 1 This chapter contains provisions for how a stock exchange shall carry out its monitoring in accordance with the following provisions in the Securities Market Act (2007:528).

1. Chapter 13, section 7 regarding trading and price trends.
2. Chapter 14, section 7 regarding participants' fulfilment of the requirements for trading.
3. Chapter 15, section 9 regarding financial instruments admitted to trading.
4. Chapter 15, section 9 regarding the information obligation of issuers.

Section 2 A stock exchange, in addition to the functions and resource requirements set out in Chapter 13, section 2 of the Securities Market Act (2007:528), shall have the expertise required to be able to maintain effective monitoring in accordance with section 1.

Market monitoring at a stock exchange shall have the capacity to

1. obtain information from issuers and participants for explaining such cases as those referred to in section 1, points 1–4 and that are related to the regulated markets operated by the stock market, and
2. obtain information from Swedish and foreign stock exchanges for explaining such cases as those referred to in section 1, points 1–4.

1. These regulations shall enter into force on 1 January 2019.
2. Older regulations still apply to the supervision of such periodic financial information that has been published before the entry into force.

ERIK THEDÉEN

Nanny Hiort