

Finansinspektionen's Regulatory Code

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Finansinspektionen's regulations and general guidelines regarding stock exchanges' listings of certain holdings of financial instruments;

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decided 11 December 2018.

Finansinspektionen prescribes the following pursuant to Chapter 6, section 1, point 2 of the Securities Market Ordinance (2007:572) and provides the following general guidelines.

Section 1 These regulations and general guidelines apply to stock exchanges.

Section 2 A stock exchange shall decide which employees and contractors are subject to the notification obligation pursuant to Chapter 1, section 15 of the Securities Market Act (2007:528). The basis for how this group has been determined shall be documented.

General guidelines

The following employees and contractors should normally be subject to the notification obligation:

- board members,
- alternate board members,
- managing director,
- deputy managing director,
- persons handling or participating in the review of prospectuses, registration or listing, and
- persons belonging to the function for market surveillance.

Section 3 The list that a stock exchange shall maintain pursuant to Chapter 1, section 16 of the Securities Market Act (2007:528) shall contain as a minimum information regarding

- the name, position and Swedish personal ID number of the notifier 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 owned by the notifier and closely related persons,
- the time and size of the changes in holdings,
- whose holdings have changed and, if the change is related to a closely related person, this person's tie to the notifier, and
- the date of the notification.

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.

These regulations and general guidelines enter into force on 1 January 2019.

ERIK THEDÉEN

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