

# Finansinspektionen's Regulatory Code

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## **Finansinspektionen's regulations regarding periodic reporting of data on the minimum requirement for own funds and eligible liabilities;**

**FFFS 2019:1**

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Decided 21 May 2019.

Finansinspektionen prescribes the following pursuant to Chapter 5, section 2, point 17 of the Banking and Financing Business Ordinance (2004:329) and Chapter 6, section 1, point 56 of the Securities Market Ordinance (2007:572).

### **Scope**

**Section 1** These regulations apply to such an undertaking as referred to in Chapter 1, section 1 of the Resolution Act (2015:1016) in the following cases:

1. The Swedish National Debt Office has made a decision regarding minimum requirements on own funds and eligible liabilities for the undertaking in accordance with Chapter 4, section 2, first paragraph of the Resolution Act.
2. The undertaking is a parent institution in the EEA and the Swedish National Debt Office has made a decision regarding minimum requirements on own funds and eligible liabilities for the undertaking in accordance with Chapter 4, section 2, second paragraph of the Resolution Act.

In the cases referred to in the first paragraph, point 2, the undertaking shall apply the regulations based on the undertaking's consolidated situation.

If an undertaking in accordance with the first paragraph, point 1 is controlled by a financial or a mixed financial parent holding undertaking within the EEA, the undertaking shall also apply the regulations based on the parent holding undertaking's consolidated situation if

1. the undertaking qualifies as a responsible institution in accordance with Chapter 3, section 1 of the Credit Institutions and Securities Companies (Special Supervision) Act (2014:968), and
2. the financial or mixed financial parent holding undertaking shall comply with a decision regarding minimum requirements on own funds and eligible liabilities in accordance with Chapter 4, section 2, second paragraph of the Resolution Act.

**Section 2** The regulations do not apply to undertakings which, in accordance with a decision by the Swedish National Debt Office, shall be subject to simplified obligations in accordance with section 10 of the Resolution Ordinance (2015:1034).

## **Content of the regulations**

**Section 3** The regulations contain provisions regarding the data on own funds and eligible liabilities that undertakings shall report to Finansinspektionen as referred to in section 1.

## **Terms and expressions**

**Section 4** Terms and expressions in these regulations have the same meaning as in the Resolution Act (2015:1016) unless otherwise specified.

## **Reporting data to Finansinspektionen**

**Section 5** An undertaking, on the balance sheet dates of 31 March, 30 June, 30 September and 31 December, shall submit the data prescribed in the resolution templates Z 01.00, Z 02. 00 and Z 04.00 in Appendix I of Commission Implementing Regulation (EU) 2018/1624 of 23 October 2018 laying down implementing technical standards with regard to procedures and standard forms and templates for the provision of data for the purposes of resolution plans for credit institutions and investment firms pursuant to Directive 2014/59/EU of the European Parliament and of the Council, and repealing Commission Implementing Regulation (EU) 2016/1066.

**Section 6** Finansinspektionen shall have received the data pursuant to section 5 no later than 12 May, 11 August, 11 November and 11 February, respectively. The data shall refer to the previous quarter.

**Section 7** If the undertaking makes changes that affect the previously reported amounts, the undertaking shall immediately submit corrected data to Finansinspektionen.

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These regulations shall enter into force on 15 June 2019 and apply for the first time to reported data relating to the balance sheet date 30 June 2019.

ERIK THEDÉEN

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