

2024-12-10

Decision

Partner Fondkommission AB
via the Chair of the Board of Directors
Lilla Nygatan 2
411 09 Gothenburg, Sweden

FI Ref. 24-4902



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Remark and administrative fine

Finansinspektionen's decision (to be announced 11 December 2024 at 8:00 a.m.)

1. Finansinspektionen is issuing Partner Fondkommissionen AB (556737-7121) a remark.

(Chapter 25, section 1 of the Securities Market Act [2007:528])

2. Partner Fondkommission AB shall pay an administrative fine of SEK 100,000.

(Chapter 25, section 8 of the Securities Market Act)

For information on how to appeal, see the *appendix*.

Summary

Partner Fondkommission AB (Partner or the company) is an investment firm with authorisation to provide investment services pursuant to the Securities Market Act (2007:528). Partner, among other things, has authorisation to execute orders on behalf of clients pursuant to Chapter 2, section 1, point 2 of the Securities Market Act. A part of the company's business consists of providing services in conjunction with share issues.

Finansinspektionen has investigated Partner's compliance with its obligation to report executed transactions in financial instruments to the competent authority pursuant to Article 26(1) of MiFIR¹. The investigation shows that there have been deficiencies in Partner's transaction reporting. In conjunction with seven

¹ Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012.

directed issues of shares, the company has provided the investment service “execution of orders on behalf of clients”. The provision of this investment service has resulted in transactions that the company is obligated to report to Finansinspektionen. By not reporting these transactions, Partner has been in violation of the provisions set out in Article 26(1) of MiFIR.

Finansinspektionen makes the assessment that the violations have been of such a nature that there are grounds on which to intervene against Partner. However, the violations are not so serious that there are grounds on which to withdraw the company’s authorisation or issue the company a warning.

Finansinspektionen is therefore issuing Partner a remark accompanied by an administrative fine of SEK 100,000.