



According to the mailing list

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(Obligatory in replies)

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Changes to the reporting of holdings for funds

Finansinspektionen (FI) is introducing changes to the reporting of holdings for funds. The changes will go into effect in January 2019. Data will be reported in XML format via FI's online Periodic Reporting system. FI will also change at the same time which data is to be reported via the system. The aim of these changes is to enable more effective supervision of both individual funds and the fund market as a whole.

Content changes

FI has decided on amendments to Finansinspektionen's regulations (FFFS 2013:9) regarding UCITS (see FFFS 2018:8). According to the amendments, Swedish fund management companies and foreign management companies shall report the risks a UCITS is exposed to in addition to reporting the holdings of the fund. the content of the fund.

FI has also submitted a proposal for consultation regarding changes to regulations related to AIF managers. According to the proposed changes, the data the management companies previously reported for UCITS must be reported for each special fund the company manages as well. See the consultation memorandum, "Förslag till nya regler om försäkringsdistribution samt vissa ändringar i fondregler" that was published on FI's website on 4 April 2018 (available only in Swedish). FI will publish more information about this proposal in the near future.

In conjunction with the first reporting occasion, Q4 2018, FI will also require additional information for a survey. The data requested for this survey are marked with an asterisk (*) in the XML schema. It is FI's hope that companies will voluntarily report this information in the future in conjunction with the periodic reporting of holdings.

FI would also like to announce that it intends to start a regulatory project to introduce a regulation enabling FI to gather such additional data in conjunction with the periodic reporting of holdings.

Practical information about reporting

Reports are filed via FI's online Periodic Reporting system. The system can be accessed through FI's website, from the page About the Reporting Portal. In the portal, users can register for an account and delegate authorisation to the person who will be filing the reports for the firm. Instruction manuals are available at About the Reporting Portal as is an instruction video that provides more detailed guidance in how to register, delegate authorisation and file reports.

www.fi.se/reportingportal/

More information on how to file reports via the online Periodic Reporting system is available on the Periodic Reporting page under the heading Periodic Reporting Online.

www.fi.se/periodic-reporting/

Information about XML schema

The format for periodic reporting will be an XML file according to the XML schema found on FI's website on the page Forthcoming Reporting of Holdings.

www.fi.se/reportingholdings

Holdings are reported per fund, which means one XML file per fund must be filed. There will be two different XML schemas: Reporting of Holdings UCITS (Innehavsrapportering värdepappersfonder) and Reporting of Holdings special funds (Innehavsrapportering specialfonder). The new format will go into effect with the reporting for Q4 2018.

The data required for the first reporting occasion, and that is voluntary as of Q1 2019, are marked with an asterisk (*) in the instructions in the XML schema. Other data, i.e. data that is not marked with an asterisk (*), is obtained pursuant to regulations.

Test reporting

FI will offer test reporting for companies that would like to test the new reporting system. Week 42 is the preliminary date for when the test reporting will open in the online Periodic Reporting system. FI will provide more information at a later date about how to carry out the test reporting and more details about the new reporting system, for example validation rules.

FAQs

In the event of questions, email rapportering@fi.se and write "Changes to the reporting of holdings for funds" in the Subject line.

Best regards,

FINANSINSPEKTIONEN