

Finansinspektionen's Regulatory Code

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Regulations

amending Finansinspektionen's regulations and general guidelines (FFFS 2011:14) regarding reporting of owners' qualifying holdings and participating interests;

FFFS 2024:9

Published on
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decided on 18 June 2024.

Finansinspektionen prescribes pursuant to Chapter 6, section 1, point 56 of the Securities Market Ordinance (2007:572) and section 4, point 5 of the Clearing and Settlement of Payments Ordinance (2024:127) that sections 1 and 2 of Finansinspektionen's regulations and general guidelines (FFFS 2011:14) regarding the reporting of owners' qualifying holdings and participating interests shall have the following wording.

Section 1 These regulations apply to

1. banking companies,
2. members' banks,
3. savings banks,
4. credit market companies,
5. credit market associations,
6. investment firms,
7. Swedish management companies,
8. insurance companies,
9. insurance associations.
10. mutual national insurance companies,
11. exchanges,
12. clearing companies,
13. institutions for electronic money,
14. deposit firms,
15. financial institutions, and
16. AIF managers.

Section 2 Joint stock banks, members' banks, savings banks, credit market firms, credit market associations, investment firms, Swedish management companies, insurance companies, insurance associations, mutual national insurance companies, stock exchanges, clearing companies, electronic money institutions, and AIF managers shall, where applicable, report to Finansinspektionen general register information and information about qualifying holdings, subsidiaries, step-down subsidiaries and other participating interests in accordance with *the appendix*.

Legal persons only need to report information about compliance officers and complaint officers if they are obligated by law, ordinance or regulations to have such positions.

These regulations shall enter into force on 01 July 2024.

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