

Finansinspektionen's Regulatory Code

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Regulations

amending Finansinspektionen's Regulations (FFFS 2002:11) governing the obligation to submit information on trading in certain financial instruments by electronic means

FFFS 2017:3

Published on
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decided on 26 June 2017.

Finansinspektionen prescribes, pursuant to section 10, point 3 of the Supplemental Provisions for the EU Market Abuse Regulation, and Chapter 6, section 1, point 61 of the Securities Market Ordinance (2007:572) with regard to Finansinspektionen's regulations (FFFS 2002:11) governing the obligation to submit information on trading in certain financial instruments by electronic means

in part that sections 1 and 2 shall have the following wording,
in part that two new sections shall be introduced, sections 5 and 6, with the following wording.

Section 1 These regulations govern the obligation to submit information by electronic means on trading in financial instruments to Finansinspektionen and to the European Securities and Markets Authority (ESMA).

Finansinspektionen's right to receive the information is set out in Chapter 6, section 1a of the Financial Instruments Trading Act (1991:980) and section 18, first paragraph of the Reporting Obligations for Certain Holdings of Financial Instruments Act (2000:1087).

Section 2 These regulations apply to undertakings that

1. participate in trading on a regulated market pursuant to Chapter 14 of the Securities Market Act (2007:528),
2. conduct investment services and activities pursuant to Chapter 2, section 1, Chapter 4, section 1 or Chapter 4 section 4 of the Securities Market Act,
3. operate a regulated market or a trading venue pursuant to Chapter 12, section 2 or Chapter 13, section 12, second paragraph, point 1 of the Securities Market Act, or
4. provide a data reporting service as an APA provider or CTP provider pursuant to Chapter 10, section 1 of the Securities Market Act.

For such transactions as specified in Article 26 of 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, and which pertain to financial instruments admitted to trade or traded on a regulated market or trading venue, Chapter 9, section 1 of Finansinspektionen's regulations (FFFS 2017:2) regarding investment services and activities applies.

Section 5 Information and reference data for financial instruments to be submitted to Finansinspektionen in accordance with Articles 22.1 and 27.1 of Regulation

(EU) No 600/2014 of the European Parliament and of the Council shall instead be submitted to the European Securities and Markets Authority (ESMA). The data shall be submitted in the format specified in Commission Delegated Regulation (EU) 2017/585 of 14 July 2016 supplementing Regulation (EU) No 600/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the data standards and formats for financial instrument reference data and technical measures in relation to arrangements to be made by the European Securities and Markets Authority and competent authorities.

Section 6 When data is submitted to the European Securities and Markets Authority (ESMA) as in section 5, sections 3 and 4 are not applied.

These regulations shall enter into force on 03/01/2018.

ERIK THEDÉEN

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